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ABSTRACT

Information about advancement programs at 190 small colleges is provided, with attention to recruitment/admissions, executive management, institutional relations, alumni, and fund raising. The 190 colleges, which responsed to a survey of members of the Council of Independent Colleges, are described according to enrollment size, geographic location, years in existence, educational and general budgets, and titles of responding person. Comparisons are made to a similar 1981 survey of small colleges. The findings, which are presented in 66 tables and narrative explanations, can be compared to advancement programs of other small colleges. A conceptual framework that gives standards for comparison is included, based on the professional literature on higher education and institutional advancement. The theoretical framework contains five major elements: institutional commitment, authority and organizational structure, personnel resources, advancement activities and functions, and evaluation. Recommendations for small college advancement programs are presented, along with the survey questionnaire and list of responding institutions and their location (state, region). (SW)

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A New Look at Managing the Small College Advancement Program

Wesley K. Willmer

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Wesley K. Willmer, Ph.D.
Senior Advancement Officer/Director of Development
Wheaton College (Illinois)

Foreword

I was president of the Council of Independent Colleges when Wesley Willmer was collecting the data for this book. I was also president of CIC (then the Council for the Advancement of Small Colleges) when he collected the data for his first study, *The Small College Advancement Program: Managing for Results.* So my connection with this project is a longstanding one.

In *A New Look at Managing the Small College Advancement Program,* Dr. Willmer draws a picture, complete and specific, of 190 small colleges. He collected information on management, institutional relations, recruitment/admissions, alumni affairs, and fund raising. On the basis of these data, he updated the advancement framework he had developed for the first study. The data tell us what the state of advancement at small colleges is, and the framework tells us what it should be.

At the time of the first study, I said, "Small independent colleges are on a collision course with shrinking student markets, rising costs, and growing competition for the philanthropic dollar. Those colleges that boldly attack these problems will move into the 1980s with greater institutional vigor and stability."

While you can read about the plight of the small college in the popular and the academic press almost every week, you are less likely to read a success story about a small college. This is not because they don't happen, but because they just don't seem as interesting to the journalistic mind. But, in fact, the small college is "resilient" as well as "fragile," as Dr. Willmer says. These same small colleges that are seemingly on the verge of extinction have had incredible success in overcoming adversity.

Most of those colleges thought to be so vulnerable in 1981 have recovered and have reestablished financial stability at pre-1981 levels or higher. A year ago more than 65 percent of the nation's liberal arts colleges were engaged in major fund-raising drives, and about 90 percent of those campaigns that had been underway for at least two years were not only meeting unprecedented financial goals but were ahead of schedule.

What is the reason for their success? One important factor is surely public understanding and support. And one way—perhaps the *only* way—to achieve public understanding and support is through a well-thought-out advancement program. This is a big step toward achieving survival. Dr. Willmer's study can show you how your institution's advancement program compares to those of other institutions and how it measures up to the framework.

But survival in and of itself is not enough. Survival is *not* our goal. Survival

without quality is survival without meaning. The goal of this book and of the advancement process advocated by Dr. Willmer is the survival of those institutions that continue to offer the quality education for which the small independent college has been known since colonial times. This and only this is the purpose of advancement.

Gary H. Quehl
President, CASE
January 1987

Preface

Small colleges are unique to American higher education. They have a rich heritage of commitment to the individual, to teaching quality and the liberal arts, to flexibility and innovation, to affordability, and to community service. In their diversity, they have provided a valuable service to the educational needs of our culture since the founding of our republic.

Over the years small colleges have demonstrated themselves to be both fragile and resilient, a dichotomy that reflects both their strengths and their weaknesses. As one small college's annual report suggests, the story of small colleges is "how such institutions have reacted and responded to crisis. It is a story of resiliency.... The small college is highly vulnerable today, but vulnerability is on the back side of the coin of opportunity."[1]

Today many small colleges are so imperiled that their leaders are motivated more by the fear of closure than by the prospect of advancement. For a variety of reasons, many institutions of higher learning have closed, are closing, or will close in the future. If the projected enrollment decline in higher education is concentrated in the smaller colleges, the 1980s may see as many as 200 of these institutions close their doors.[2] Many of the institutions that remain open will continue to face the threat of closure. But those colleges that have a well-managed institutional advancement program have a better chance of gaining constituency support and thus a better chance for survival in the days ahead.

The struggle for survival is not a new phenomenon; it has always been an integral part of American higher education, particularly for small independent colleges. As early as 1641, Harvard sent a trio of preachers to England on a "begging mission." In 1838 the University of Michigan borrowed $100,000 to get started. In 1873 lack of funds forced Miami University to close for 12 years. In 1896 Stanford University's president wrote that "for the three years following the death of Senator Stanford this institution has had a constant life and death struggle."[3] It is no wonder that many American colleges are named after benefactors: Harvard, Brown, Rutgers, Dickinson, Williams, Hamilton, and numerous others.[4]

But not all colleges found a benefactor or other solution to their financial problems. Brubacher and Rudy report that "of five hundred colleges founded in sixteen representative states before the Civil War only a little more than one hundred survived as permanent institutions."[5] Pattillo and MacKenzie estimate that only 20 percent of the colleges founded during the 19th century have survived.[6] It appears that the very nature of small, often independent colleges makes them candidates for extinction.

About 21.5 percent of all higher educational institutions—one-third of all the institutions offering at least a bachelor's degree and more than half of all private four-year colleges in this country—are unknown beyond their community. They are called the "invisible colleges."[7]

Alexander W. Astin and Calvin B. T. Lee describe the invisible college as

> the third-class citizen, the unassimilated, the outsider. It faces most of the same problems [as other institutions] but always on a more severe scale. Because the invisible college is private, it gets only limited support from the state. Because it is unknown it suffers in the competition for federal grants. Because its financial resources are pitifully scant, it cannot make attractive offers to students needing financial help.... Because the invisible college is often church related in a society that is increasingly secular, it must grapple with the question of retaining affiliation or severing the bonds with its parent church.[8]

To survive and advance in the future, the small, independent college must retain the support of former students and actively cultivate the interest and understanding of its many publics—alumni, parents, businesses, foundations, and churches. This is the role of institutional advancement: to create among all constituencies an understanding of the institution's mission, services, and accomplishments and thereby to generate goodwill, voluntary financial support, and new students to sustain its educational objectives.[9]

Magazine and newspaper articles about small colleges have focused on their plight, suggesting they are on the verge of closing. Little attention is given to the adaptability of these institutions that have been a symbol of educational excellence since colonial days. Small and often developing colleges are obviously more fragile and vulnerable to change (particularly to change in public policy) than are large institutions, but small institutions are also generally more responsive, more creative, and more resilient to changes.[10] This is the context of the challenge facing advancement officers at small colleges today.

The purpose of this monograph is to provide data about small college advancement programs that will assist managers in making wise decisions in the areas of admissions/recruitment, fund raising, alumni affairs, institutional relations, and general management to increase understanding and support for small colleges. Presidents, trustees, and advancement personnel of small colleges should be able to apply the benchmarks of this data to their own efforts and thereby improve the results of their advancement programs.

Notes

[1] E. Janzen, *Messenger/Annual Report* (Fresno, CA: Fresno Pacific College, 1984), p. 3.

[2] U.S. Government Printing Office, *The Condition of Education* (Washington, DC: 1980).

[3] Orrin L. Elliott, *Stanford University: The First Twenty-Five Years* (Stanford: Stanford University Press, n.d.), p. 276.

[4] Carnegie Commission on Higher Education, *The More Effective Use of Resources* (New York: McGraw-Hill, 1973), p. 145.

[5] John S. Brubacher and Willis Rudy, *Higher Education in Transition: A History of American Colleges and Universities, 1636-1968* (New York: Harper and Row, 1976), p. 225.

[6] Manning M. Pattillo, Jr., and Donald M. MacKenzie, *Church-Sponsored Higher Education in the United States: Report of the Danforth Commission* (Washington, DC: American Council on Education, 1966), p. 7.

[7] Alexander W. Astin and Calvin B. T. Lee, *The Invisible Colleges: A Profile of Small Private Colleges with Limited Resources* (New York: McGraw-Hill, 1972), p. 10.

[8] Ibid, p. 11.

[9] A. Westley Rowland, gen. ed., *Handbook of Institutional Advancement,* 2d. ed. (San Francisco: Jossey-Bass, 1986), pp 4-9.

[10] Robert D. Peck, "Small Independent Colleges in 1984" (Washington, DC: Council of Independent Colleges, June 1984), p. 2.

Chapter 1

Setting the Stage

There is no easy way to raise funds, recruit students, and promote goodwill for small colleges with limited resources. Like any management challenge, it takes well-thought-out short- and long-range plans, capable people to implement the plans, and periodic evaluation to adjust the efforts for maximum return on investment.

The primary purpose of this monograph is to provide managers at small institutions (under 2,500 full-time equivalent students) with data about the institutional advancement process at similar small colleges with limited resources. The data presented comes from three sources. The primary source is a 1985 study that I conducted to survey the small colleges who were members of the Council of Independent Colleges (CIC). The secondary source is a similar study that I completed in 1980 and CASE published in 1981 (referred to in this book as "the 1980 study"). The tertiary source is the professional literature on higher education and institutional advancement. The benchmarks derived from these three sources should provide the manager with a means of comparison and analysis that will help him or her develop a well-thought-out plan for promoting the understanding and support of external constituents.

Institutional mission and external environment

The capable manager realizes that even the textbook-perfect plan will not succeed unless it does two things: It must establish a clear idea of the institution's mission, and it must be based on a thorough understanding of the environment within which the institution operates. The advancement plan that fails in these two areas will seldom produce lasting results.

Clarity of institutional mission must be the fundamental starting point for small

college advancement. As Hobbs says, "Unless the institution's advancement officer is able to convey the college's vision of its purpose and character to others, in terms they can understand, advancement is an empty exercise, for there is really nothing to advance."[1]

The essence of an institution's mission is value—that is, priorities, commitments, and major themes in the college's purpose. Establishing a clear idea of the institution's mission must be a priority for, as Panas observes, the highest concern of major donors is that they like the mission of an institution.[2] Peck suggests that a primary strength of small and developing institutions is their unique mission. But this unique mission must be clearly defined and appropriately implemented.[3] According to a study of 15 successful independent institutions, conducted by Earl J. McGrath and R. S. Webber, "The extent to which the institution is successful depends not just on several outstanding developmental functions with first-rate leadership, but, most importantly, on the stable stance the whole institution takes over time with respect to its mission."[4]

Besides having a clear idea of the institution's mission, advancement officers must recognize the many external forces that can have a radical impact on a small college's future. These forces include the demographic, economic, political, organizational, technological, and social environments. Jonsen emphasizes that these forces may play a more important role in institutional fate today than they have in the recent past. He suggests that in the 1980s and beyond, advancement administrators at small and developing colleges will be involved in strategic planning that may necessitate major adjustments in the course of their institutions in order to assure survival in the 21st century.[5]

It is the responsibility of the advancement officer to be keenly aware of these factors and to incorporate them into the total advancement plan. In this way, strategic management decisions for the small college will be based on the data collected from this external environment. An analysis by Chaffee shows that among the small colleges studied, the adaptive model of strategic management, based on the need for the college to be responsive to the individuals and groups who supply its most critical resources, fosters the best turnaround in a declining market.[6]

The institutional advancement concept

In order to understand the environment in which the small college plan is developed, we need to trace the evolution of the concept of institutional advancement in American higher education. The term "institutional advancement" was basically unknown 20 years ago although many of the activities of advancement have been performed since the beginning of American higher education. About 60 years ago the word "development" was first used to describe a long-range fund-raising campaign for a college or university.

The American Alumni Council and the American College Public Relations Association jointly undertook a major study in 1957. The study, which was funded by the Ford Foundation, was entitled *The Advancement of Understanding and Support of Higher Education,* and it resulted in the "Greenbrier Report." This was the

first major national study of the development function, and it led to a more precise definition of what was meant by "development."

During the Greenbrier conference, however, a deliberate attempt was made not to use the word "development" because many people associated it with fund raising. While fund raising is an important segment of the total college advancement program (especially at the small college), fund raising is only one of the several purposes of institutional advancement.

John Leslie has defined the advancement program as follows:

> an umbrella concept typically including public relations activities, alumni programs, fund raising, publications production, and, in some institutions, state and federal liaison, student recruitment, university press operations, central printing and mailing services—to mention a few.[7]

In 1975 the American Alumni Council (established in 1913) and the American College Public Relations Association (established in 1917) merged to form the Council for Advancement and Support of Education (CASE). The merger was encouraged in part by economic conditions and some duplication of membership and program content between the two organizations. The overriding consideration, however, was that the profession of educational advancement, with its many technical specialties, required unity of purpose and direction in order to fulfill its obligations to schools, colleges, and universities.

In 1977 the *Handbook of Institutional Advancement* (A. Westley Rowland, editor) was published by Jossey-Bass. (A revised and rewritten edition was published in 1986.) This handbook provided credibility and continuity to institutional advancement as a field of study. Institutional advancement programs are now generally consolidated into seven areas: institutional relations, fund raising, admissions/recruitment, alumni administration, government relations, publications, and executive management. Institutional advancement as a profession has grown rapidly in size, influence, and effectiveness.

CASE programs and publications continue to increase to satisfy the demand for professional training in this field and to meet the increased sophistication of the marketplace. Advancement is now an established administrative responsibility at practically every institution in the United States.

In February of 1985, the Greenbrier II Colloquium established a new set of proposals on ethics, research and scholarship, and professional development to help chart the future course of institutional advancement. The 31 recommendations that came out of this meeting will provide direction and vision for the institutional advancement professional in the years ahead. One of the concerns of the Colloquium was to "stimulate more research and scholarly activity in advancement."[8] We hope that this manuscript will be a cog in the wheel by providing managers with the data on which to make wise decisions.

The study procedure

While there have been studies of specific advancement activities, such as fund rais-

ing, publications, and certain alumni activities, this project is unique in that it describes comprehensively the advancement program process of small colleges. The research focuses on the *process* of institutional advancement, rather than the content or product of advancement programs. This process-oriented concern emphasizes the means or series of progressive and independent steps by which the end is attained.[9] This study, as explained above, is a follow-up to the study I conducted six years ago. Whenever helpful, I have made comparisons to the 1980 data to indicate advancement trends among these colleges.

The population surveyed was the entire membership of the Council of Independent Colleges (CIC), headquartered in Washington, D.C. Because the 273 CIC members represent a wide cross-section of small colleges, they are a good population for this study. The sample allows generalization of findings to almost all small colleges with enrollments ranging from a few hundred to 2,500 full-time equivalent (FTE) students and with limited financial resources. The CIC colleges that responded are located in practically every state (Appendices A and B).

I used a printed questionnaire to collect the data. After drafting the questionnaire, I reviewed it with colleagues in higher education and institutional advancement and with data-processing personnel. After incorporating reviewers' suggestions and recommendations into the questionnaire, I tested it at several colleges to pinpoint possible response problems. These results are reflected in the final questionnaire (Appendix C).

On October 29, 1984, the questionnaire was mailed first-class with a cover letter on CIC letterhead over the signature of Gary H. Quehl, who was then president. It was addressed to the college presidents of the 273 CIC member institutions. A reminder postcard (Appendix D) was sent November 16. On December 13, I sent a second questionnaire with a cover letter, many with a personal note, to those who had not responded (Appendix E). The resulting response rate was 190 usable questionnaires or 71 percent of the surveyed population.

I reviewed the questionnaires that were returned and found no systematic bias in the sample. I then coded them, using the guidelines of a code book developed to process the data. The coded questionnaire data were entered into the computer.

The *Statistical Package for the Social Sciences* (SPSS) program was used for most of the statistical computations executed on the data base. A series of commonly used descriptive statistics (mean, median, mode, and range) were employed. In addition, a variety of inferential statistical procedures were used on the data base. Open-ended questions were tabulated manually as were random checks made on many of the analyses to cross-check the accuracy of the work.

Description of study population

Factors such as enrollment size, geographic location, years in existence, educational and general budgets, and who filled out the surveys all give a standard of measure to understand the study population. These data provide a matrix to enable the reader to see what data in this study apply to which institutions.

Student enrollment

Of the 190 responding institutions, over 56 percent reported fewer than 1,000 FTE students in attendance. As Table 1 displays, just over 75 percent of the institutions have enrollments between 500 and 1,500 FTE students. Only 12.6 percent have over 1,500 students, and 12.1 percent have under 500 students.

Table 1: Enrollment (Fall 1984)

FTE Students	N	Relative frequency (Percent)	Cumulative frequency (Percent)
Up to 500	23	12.1	12.1
501-750	45	23.7	35.8
751-1,000	40	21.1	56.9
1,001-1,250	35	18.4	75.3
1,251-1,500	23	12.1	87.4
1,501-2,000	18	9.4	96.8
2,001 +	6	3.2	100.0

In the 1980 study, 70 percent of the responding institutions had enrollments under 1,000 FTE, 21.2 percent had 500 or fewer, and 7.3 percent had more than 1,501 FTE students.[10] In general, the respondents in this current study are more evenly represented in the middle of the enrollment range, with fewer institutions that have less than 500 students FTE or more than 2,001 students. It appears that a number of the 1980 respondents that reported under 500 students have now increased their enrollments to the 501-750 category, which was one of the recommendations of the earlier study. If this is true, it shows a strengthening of these colleges in the last few years.

Years in existence

The age of an institution is often a factor in stability of leadership, enrollment size, and number of alumni and other friends who provide a network for advancement activity. Almost 80 percent (78.9 percent) of the institutions are 51 years old or older (Table 2). Of these, 64.7 percent are over 76 years old. Only one reporting college was 10 years or younger. Almost 6 percent were 11 to 25 years old.

Table 2: Age of Institution

Years in existence	N	Relative frequency (Percent)	Cumulative frequency (Percent)
1 to 10	1	.5	.5
11 to 25	11	5.8	6.3
26 to 50	28	14.5	20.8
51 to 75	27	14.3	35.1
over 76 years	123	64.9	100.0

Educational and general (E&G) budget

In addition to enrollment size, the size of the E&G budget provides a good measure to describe these institutions. Table 3 shows the low, high, and mean expenditures of the responding institutions. The range for the entire population is very diverse with a low of $760,000 and a high of $18,872,303. The mean for all reporting institutions is $7,343,903. In each enrollment group, the budgets have just a little more than doubled in five years.[11]

Table 3: Educational and General (E&G) Budget by Enrollment (FTE)

	Range		
Enrollment	High	Low	Mean
Up to 500	$ 5,200,000	$ 760,000	$ 2,907,179
501-750	7,992,782	2,275,000	4,499,334
751-1,000	10,011,700	2,600,000	5,997,495
1,001-1,250	15,029,000	4,085,095	7,813,346
1,251-1,500	17,000,000	3,564,873	7,902,174
1,501-2,000	16,110,551	6,068,379	10,306,395
2,001 +	18,872,303	8,145,111	12,331,404

Respondents' geographic distribution

The 190 respondents reside in 41 states plus the District of Columbia. Table 4 gives a breakdown by region. Appendix A shows the respondents by state. One-half of the colleges are in the industrial belt of the northern midwestern states. Only 5 percent are in the western part of the nation.

Table 4: Geographical Distribution

Region	N	Relative frequency (Percent)	Cumulative frequency (Percent)
Northeast	56	29.0	20.0
Southeast	23	12.0	41.0
Northern midwest	95	50.0	91.0
Southern midwest	9	4.0	95.0
Northwest	5	2.5	97.5
Southwest	5	2.5	100.0

Respondents' titles

One-half of the questionnaires were completed by the vice president or director of development/institutional advancement. Table 5 shows the breakdown. Note that 31 percent of the questionnaires were completed by presidents; the remaining 69 percent were completed by a variety of administrative officers. (See Appendix F for a list of respondents and their titles.)

*Table 5: Titles of Respondents**

Title	N	Percent
President	60	31
Vice president or director		
Development/institutional advancement	97	50
Academic affairs	4	2
Finance	2	1
Institutional planning (research)		
Marketing	11	6
Assistant to president	6	3
Other	14	7

*Some colleges responded with more than one title.

Organization of book

This book is organized into eight chapters. After Chapter 1, a chapter covers each of these areas of institutional advancement: executive management, institutional relations, recruitment/admissions, alumni affairs, and fund raising. Each chapter includes a description of the data collection. In addition to the data description, assessment comments are made where appropriate, comparing this data with the 1980 study, and notations from the assessment framework are worked in at appropriate times.

Chapter 7 updates the conceptual framework I developed from the professional literature six years ago. So little research data is available on this topic that most of the benchmarks and their justifications still hold true. In fact, time is one of the best judges of a good framework.

Chapter 8 briefly states conclusions and recommendations, including respondents' suggestions for changes and my ideas for future research.

Notes

[1] Wesley K. Willmer, guest ed., *Advancing the Small College,* New Directions for Institutional Advancement, no. 13 (San Francisco: Jossey-Bass, 1981), p. 21.

[2] Jerold Panas, *Mega Gifts* (Chicago: Pluribus Press, 1984), p. 54.

[3] Robert D. Peck, "Entrepreneurship as a Significant Factor in Successful Adaptation," *The Journal of Higher Education,* 55(2), 1984, pp. 269-285.

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Chapter 2

Executive Management

In his address to the 27th Annual National Institute of the Council of Independent Colleges in 1982, then CIC President Gary H. Quehl identified four challenges facing the future of small independent colleges: (1) student financial aid, (2) student recruitment, (3) alternate financing to government funding, and (4) high-quality undergraduate education.[1] The first three issues all directly relate to institutional advancement concerns and the fourth will not happen without the other three. If the institutional advancement office is in the middle of the struggle for survival with quality, then the manager of the advancement functions takes on a many-faceted challenge under great pressure to succeed. In many ways the advancement officer's success is directly related to the health of the institution.

To have a fighting chance for success, some of the things the small college institutional advancement manager needs are an appropriate budget, sufficient authority, adequate staff, and supportive trustees. This chapter provides benchmarks from the research in these areas to assist in the management of small college advancement efforts.

Budget allocations for advancement

The saying, "It takes money to make money," may be trite but it's true. In advancement it takes people and program resources to cultivate friends, raise money, and recruit students. Two ways to establish benchmarks in this area are to examine (1) the percentage of an institution's budget allocated to advancement and (2) the actual dollar amounts.

Table 6 provides a breakdown by enrollment. Among the 190 responding small colleges, the mean percent of educational and general expenditures (E&G) allocat-

ed to advancement is 7.9 percent with a range in the means from 4.7 to 13.4 percent. This reflects a 1.4 percent increase in the total mean compared with the 1980 study. This means that the institutions as a whole increased their budgetary allotments for advancement by nearly one-third in the six-year period.[2]

Table 6: Budget Allocations to Advancement by Enrollment Size (FTE) (Percent of E&G Budget)

	Range		
Enrollment	Low	High	Mean
Up to 500	3.7	18.5	13.4
501-750	2.9	22.0	10.3
751-1,000	1.0	18.0	8.9
1,001-1,250	2.0	12.9	6.3
1,251-1,500	2.7	12.6	6.2
1,501-2,000	2.2	10.2	6.0
2,001 +	1.7	6.9	4.7

The greatest areas of difference came in the two smaller enrollment groups. The percentage of expenditures for these groups was up while the largest enrollment group was down slightly. This reflects a higher percentage priority set by the institutions for advancement efforts compared with the 1980 study.

It appears that a college with over 1,000 students can allocate a much more reasonable percentage of the institution's budget to advancement activities. If a college is spending 8 percent or more of its budget for advancement, it is probably struggling for survival to the detriment of the quality of other programs.

When we look at institution age and advancement expenditures, we see that the mean percent of the budget allocated to advancement decreases as institutions get older. These allocations, by institutional age, are:

11 to 25 years	13.6 percent
26 to 50 years	9.2 percent
51 to 75 years	8.0 percent
over 75 years	7.4 percent

The second management tool is the actual mean budget allocation by enrollment size. Table 7 displays the ranges, means, and medians of dollar amount expenditures by enrollment. A comparison of these expenditures with the earlier study shows that expenditures are now two to three times more.[3] A breakdown of these budgets for the four functional advancement areas is provided in the subsequent chapters.

Table 7: Advancement Expenditures by Enrollment Size (FTE)

Enrollment	Range		Mean	Median
	Low	High		
Up to 500	$ 99,174	$ 1,404,766	$ 489,596	$ 348,887
501-750	66,000	684,180	384,044	437,600
751-1,000	226,700	1,336,975	485,482	537,100
1,001-1,250	178,100	1,066,225	486,772	585,486
1,251-1,500	213,440	1,160,203	825,891	600,000
1,501-2,000	257,086	1,261,600	603,563	629,248
2,001 +	364,566	985,865	535,448	564,681

Low expenditures range from $66,000 to $364,566 in the different enrollment groups, while the highs range from $684,180 to $1,404,766. Obviously this is a drastic variation even among institutions with similar enrollments. The range of the mean is from $384,044 to $825,891. The median variation is from $348,887 to $629,248. The average of the means for the responding colleges is $544,399 while the average of the medians is $529,087. These figures provide good benchmarks for the budget ranges of small colleges. In William Pickett's study of effective college advancement, he warns that too small a budget is a sign of lack of effectiveness.[4] As I mentioned above, an advancement program will be as productive as possible only when expenditures are sufficient.

Table 8 shows that only two of the reporting institutions are spending less than $100,000 and only eight others less than $200,000. According to William Pickett's analysis, these 10 institutions should consider increasing the amount of funds allocated to advancement.

*Table 8: Expenditures by Enrollment and Dollar Amounts**

Enrollment	Less than $100,000	$100,000 to $199,999	$200,000 to $299,999	$300,000 to $399,999	$400,000 to $499,999	$500,000 to $599,999	$600,000 and over
Up to 500	1	2	3	2	4	3	1
501-750	1	4	6	11	6	3	8
751-1,000	0	1	1	7	3	5	12
1,001-1,250	0	1	3	4	7	6	8
1,251-1,500	0	0	2	2	1	2	9
1,501-2,000	0	0	1	0	2	3	8
2,001 +	0	0	0	1	0	2	1

*Not all colleges responded to this question.

If we consider the total institutional allocation for advancement, we get a measure of the total budget size. Table 9 divides the total by percent allocated to four functional areas of advancement. The average breakdown is 30 percent for fund raising, 17 percent for institutional relations, 44 percent for admissions, and 9 percent for alumni affairs. These percentages will be displayed in dollar amounts in the chapters covering each of these functional areas.

Table 9: Advancement Expenditures by Function (Percent)

Enrollment	Fund raising	Institutional relations	Admissions	Alumni affairs
Up to 500	36	15	40	9
501-750	30	16	47	7
751-1,000	27	15	48	10
1,001-1,250	26	17	47	10
1,251-1,500	30	17	44	9
1,501-2,000	30	17	45	8
2,001 +	30	22	39	9
Average	30	17	44	9

Institutional commitment and advancement functions

An institution's advancement program requires total commitment from the institution. In addition to sufficient budget and staff, the chief advancement officer must have sufficient authority. This authority is demonstrated in several ways: The advancement officer reports to the president; he or she is a member of the institution's executive policy-making group; and he or she has written objectives, a clear mission statement, and a centralized advancement office.

Institutional commitment

At 95.2 percent of the surveyed institutions, the chief institutional advancement manager reports to the president; this is up from 93 percent in the 1980 study.[5] At only three colleges, or 1.6 percent, do the managers report to a vice president. At six colleges, or 3.2 percent, the chief institutional advancement manager reports to other administrative officers.

The chief institutional advancement manager is a member of the executive policy-making group at 98 percent of the reporting institutions. This is the same as the 1980 study.[6]

At 83 percent of the institutions, the institutional advancement office has a written statement of objectives. Six years ago, the percentage was 81 percent—no significant difference.[7] In the current study, 94 percent indicated that their mission statement had been reviewed in the last five years.

The percentage of institutional advancement functions managed and coordinated through one department has increased slightly in six years from 63 percent to 67.4 percent, reflecting the general trend toward the comprehensive advancement model of management among small colleges.

Institutional advancement functions

Tables 10 and 11 show the functions included in the institutional advancement programs of the study group, both for the entire population and broken down by size

of college. As expected, fund raising (100 percent), alumni affairs (97 percent), and public relations (96 percent) are integral parts of nearly all the institutional advancement office efforts. Additionally, 90 percent of the colleges include publications in these efforts. This reflects no significant change from six years ago.[8]

Seldom does the small college advancement office have the luxury of having one person in charge of each advancement function. Rather, everyone wears several hats. It is not easy to distinguish clear lines of functions at the small college. Public relations includes publications, and everything the advancement office does is in some way related to enrolling students and raising funds.

There are very few differences among the various enrollment groupings when we compare advancement functions. The only significant difference is that half as many of the smaller schools (those with under 500 FTE students) have a parents program as the larger institutions. All of the other functions are comparable, which is a change from six years ago. The larger percentage of budget spent at the smaller institutions, compared with 1980 figures, is probably financing these increased advancement functions.[9]

Table 10: Institutional Advancement Functions Prioritized

Function	Percent	Function	Percent
Fund raising	100	Photographic services	56
Alumni affairs	97	Admissions	42
Public relations/publicity	96	Government relations	43
Publications	90	Conferences	30
Parents programs	76	Physical plant planning	18
Special events	64	Placement	17
Church relations	62		

Table 11: Institutional Advancement Functions by Enrollment Size (Percent)

Function	Up to 500	501-750	751-1,000	1,001-1,250	1,251-1,500	1,501-2,000	over 2,000
Fund raising	100	100	100	100	100	100	100
Admissions	54	47	49	38	23	47	33
Alumni affairs	96	98	97	97	100	95	100
Government relations	38	36	46	51	45	42	33
Photographic services	50	57	51	66	82	53	50
Physical plant planning	17	19	20	6	18	26	16
Church relations	67	68	74	54	45	47	67
Parents programs	38	60	74	63	73	79	67
Placement	17	15	23	9	23	21	16
Public relations/publicity	96	100	95	97	100	100	83
Publications	79	94	90	91	100	100	83
Conferences	29	32	41	26	27	26	16
Special events	67	70	79	80	82	84	83
Other	17	19	18	17	14	16	16

Fifteen percent of the responding colleges wrote a function under the category "other." These areas included: speakers bureau, institutional advertising, long-range planning, campus tours, duplication and mail room services, financial aid, community education, estate planning services, management of the campus radio station, capital campaigns, sports information, financial aid, grants, marketing, and graphics and printing.

The percentages of the various functions included in the advancement office have not changed noticeably since the 1980 study.[10]

Advancement office personnel

Both quality and quantity of personnel are necessary to small college advancement. In addition to the skills and experience appropriate for advancement officers, there must be enough people to carry out the required tasks.[11] The success of any one program is often a reflection of the competence, commitment, and dedication of consistent personnel over the years who have held high a vision for the institution, despite difficult odds.

Professional Staff

Table 12 shows the high, low, and mean total professional staff for the functions of recruitment/admissions, alumni affairs, fund raising, and institutional relations. (The staffing breakdown for these four areas is shown in the chapters that discuss each of these functional areas.) The range in staffing is from one to 20 full-time equivalent (FTE) professionals. The average of the means for the entire study is 8.2 FTE. The 1980 study found a range in means from 3.9 to 6.7 FTE. The average of the means was 5.0 FTE.[12] The current figures show a 3.2 FTE increase in the average mean for professional advancement staff.

Table 12: Advancement Professionals by Enrollment Size (FTE)

	Range		
Enrollment	High	Low	Mean
Up to 500	12	1	5.7
501-750	14	2	7.4
751-1,000	15	2	8.1
1,001-1,250	20	2	9.1
1,251-1,500	16.5	3	8.2
1,501-2,000	18.5	4	11.5
2,001 +	13.83	2.5	7.1

Clerical/secretarial staff

Because of the volume of correspondence and clerical records and the important role they play in communication, capable clerical and secretarial assistance is crit-

ical. In fact, these people are the lifeblood of the operation at many small institutions. Table 13 reflects a high of 16 FTE and a low of 1 FTE clerical/secretarial staff. The mean ranges from 3.5 to 6.8 FTE. Generally this increase in size corresponds to increased enrollment. The average of the means is 5.3 FTE, an increase of 1.6 FTE from 1980.[13]

Table 13: Advancement Clerical/Secretarial Staff by Enrollment Size (FTE)

	Range		
Enrollment	High	Low	Mean
Up to 500	8	.5	3.5
501-750	12	1	4.4
751-1,000	12	1	4.9
1,001-1,250	16	1	5.8
1,251-1,500	10.5	2	4.7
1,501-2,000	14.5	2	6.7
2,001 +	12.4	3	6.8

Staff enlargement

Six years ago, 51 percent of the respondents said they planned to enlarge their advancement staff in the next two years; the percentage for current respondents is 40.7.[14] Of the current respondents, 30.5 have no plans to increase staff, and 28.4 percent are uncertain.

Field representatives

Of the institutions surveyed, 65.5. percent have field representatives as indicated in Table 14. Fourteen percent have one or two field representatives; 40 percent have three to five, 8.5 percent have six to nine, and 3 percent have over 10 representatives.

Table 14: Field Representatives

Number of field representatives	Percent	Number of field representatives	Percent
0	34.5	6	3.0
1	6.0	7	2.0
2	8.0	8	3.0
3	11.0	9	.5
4	19.0	10 +	3.0
5	10.0		

When I asked what the field representative's primary responsibility was, I received a wide variety of answers, but the predominant answer by far was stu-

dent recruitment/admissions. The next most common responses were: fund raising, community relations, deferred giving/personal solicitation, and alumni relations. Other frequent responses were church relations and market research.

Characteristics of the chief institutional advancement officer

The chief institutional advancement officer plays a vital role in leading and managing the small college's advancement efforts. Over 95 percent of these chief officers report to the president, and almost 98 percent are members of the executive policy-making group for the institution. Six years ago, 87 percent of these officers were men.[15] In this study, 82.5 percent are men. Other characteristics of the chief institutional advancement manager are discussed below.

Years at institution

To be able to represent an institution well, the chief institutional advancement officer needs a good knowledge and understanding of the institution. One measure of this is how long he or she has been with the institution. Table 15 shows that 53 percent have been at the institution five years or less (in 1980 this figure was 44 percent), and of these, 33.5 percent have been with the institution only one or two years. In 1980 this was only 24 percent.[16]

Table 15: Manager's Years with the Institution

Years	Percent
1-2	33.5
3-5	19.5
6-12	28.6
13-20	11.6
21+	6.8

On the longevity end of the scale, 18.4 percent have been with their current institution 13 or more years.

Years in institutional advancement position

We also need to consider how long the chief institutional advancement manager has been in his or her position. Table 16 gives these figures. Less than a third (28.9 percent) of these managers have been in their positions less than two years. Six years ago this figure was over 9 percentage points higher (38 percent). Over 58 percent have been in their position three years or less. Over 8 percent (8.3 per-

cent) have been in their positions 11 years or more. In 1980, 13 percent had served as chief institutional advancement officer 11 years or more[17]

Table 16: Manager's Years in Current Position

Years	Percent
1-2	28.9
2-3	29.4
4-10	33.4
11+	8.3

Years in field

The third experience component is the number of years in the advancement field. The breakdown in Table 17 shows that almost 20 percent of the respondents have been in advancement three years or fewer.

Table 17: Manager's Years in Advancement

Years	Percent
1-3	19.6
4-8	31.5
9-14	28.1
15+	20.8

The largest group of managers (31.5 percent) have four to eight years experience in advancement. Just over 28 percent have had nine to 14 years experience, and at 20.8 percent of the institutions the chief institutional advancement officer has 15 or more years experience. Six years ago, 25 percent of the chief officers had more than 15 years experience.[18]

Age

The ages of the chief managers form a fairly even bell-shaped curve. As Table 18 shows, 38.6 percent are over 50, and 12.6 percent of these are over 56. Almost a quarter of the group are between 37 to 42 years while 15.6 percent are 36 or younger. The remaining group (43 to 49 years) constitutes 21.5 percent of the total. There is no significant difference in this age breakdown from six years ago except a few people who were then over 65 no longer hold the position of chief manager.[19]

Table 18: Manager's Age

Years	Percent
Under 36	15.6
37-42	24.3
43-49	21.5
50-55	26.0
56+	12.6

Highest earned degree

The current study clearly shows movement up the education ladder for institutional advancement managers, compared to the 1980 study, especially from the master's to the doctoral level. Over one-third (34.6 percent) now have a Ph.D. compared to 23 percent in 1980.[20] The percentage of those with a bachelor's degree is almost the same (29.6 percent in this study, 28 percent in the 1980 study), but the percentage of those with a master's degree (M.A., M.S., or M.B.A.) as the highest earned degree decreased from 42 percent in 1980 to 35.2 percent in this study. This difference is largely explained by the increase in respondents with a Ph.D.

Academic major of highest degree

The most popular major is the humanities (43.8 percent of respondents). Education is second with 26 percent. Bachelor's degrees in business are next (20.1 percent), and 10.1 percent of the managers have degrees in religion. I did not collect data on this point in 1980 so no comparison is available.

Staff training and professional development

Small staffs, limited budgets, and geographical locations that make it hard to attend professional conferences are all factors that restrict professional growth. Table 19 shows how respondents rate perceived adequacy of staff training in the various areas of responsibility.

Table 19: Staff Training Adequacy

Area	Very well trained (Percent)	Adequately trained (Percent)	Not adequately trained (Percent)
Writing proposals	76.7	55.6	21.2
Time management	14.4	68.1	17.6
Management principles	21.7	67.4	10.9
Management reports	21.0	64.5	14.5
Budgeting	24.2	64.0	11.8
Alumni programming	19.6	62.5	17.9
Writing direct mail	26.2	57.8	16.0
Tracking donors	19.3	53.5	27.3
Donor relations	39.0	53.0	7.6
Admissions strategies	47.1	49.3	3.7
Writing PR copy	43.5	48.9	7.6
Computer literacy	14.0	43.0	43.0
Planned giving	26.1	42.6	31.4
TV/radio usage	14.3	33.7	52.0

Proposal writing is the area with the highest percentage of very well trained staff. Other areas of strength include admissions strategies, writing public relations copy, and donor relations. Respondents most commonly felt staff are not adequately trained in TV/radio usage, computer literacy, planned giving, and tracking donors.

Table 20: Professional Improvement Tangibly Supported by Administration

Method	Time (Percent)	Money (Percent)
Magazines	94.4	97.3
Seminars	98.4	96.8
Education	63.2	49.4

Most of the respondents (95 to 98 percent) felt that the administration at their institution supports professional improvement with money and time. As Table 20 reflects, however, although 63.2 percent of the respondents indicated that time is allowed for further education, only about half (49.4 percent) said that advanced education is supported with money.

Board of trustees

Governing boards play a critical role in all institutions, but at the small college—often low in financial assets and struggling to maintain student enrollments—trustees, as the legal owners and final authority of the institution whose assets and

operations they hold in trust, can be a significant factor for success or failure.

According to the survey, 87 percent of the institutions have active, working trustee committees in the areas of institutional advancement (this is up from 71 percent in 1980)[21]. But the presidents and development officers (see Table 21) expressed only modest satisfaction with trustees' involvement in assisting admissions efforts, deciding fund-raising policy, making financial contributions, and soliciting new donors. For each of these areas, respondents were asked to rank their feelings about trustees' efforts on a scale of 1 to 6: (1) very satisfied, (2) satisfied, (3) slightly satisfied, (4) slightly dissatisfied, (5) dissatisfied, or (6) very dissatisfied.

Table 21: Satisfaction with Trustees (Percent)

	Assisting admissions	Deciding fund-raising policy	Making financial contributions	Soliciting new donors
Very satisfied	4.7	23.1	13.4	6.5
Satisfied	12.2	27.4	21.5	10.8
Slightly satisfied	31.1	20.4	35.5	29.7
Slightly dissatisfied	23.0	14.5	10.8	14.6
Dissatisfied	17.5	10.8	11.3	25.4
Very dissatisfied	11.5	3.8	7.5	13.0

The fundamental purpose of governing boards is to set policy. As Michael Radock states, "Trustees set the style and provide general policy direction for the institutions they serve."[22] These policy decisions include defining the mission of the institution; allocating development priorities to particular programs; and providing the budget, the impetus, and the targets for fund-raising policy. Among the surveyed colleges, respondents are most satisfied with trustee involvement in deciding fund-raising policy. Almost 71 percent of the respondents are slightly to very satisfied, and 23 percent are very satisfied. Twenty-nine percent are slightly dissatisfied to very dissatisfied, with 14.6 percent either dissatisfied or very dissatisfied.

Trustees do better at determining fund-raising policy than at fund raising itself. John Pocock states, "There is a problem at the heart of board structures. Many boards aren't designed and staffed with the task of development or advancement in mind." Pocock goes on to say, "Boards tend to lack trustees talented in fund raising. Trustees are not educated in the process of fund raising and might be unwilling to learn this important skill."[23] These conclusions are borne out by the survey. The area of greatest expressed dissatisfaction is soliciting new donors; 53 percent of the respondents are dissatisfied with trustee performance in this area, whether it be slightly dissatisfied, dissatisfied, or very dissatisfied. Of those who are satisfied, only 6.5 percent said they are very satisfied, 10.8 percent are satisfied, and 29.7 percent are slightly satisfied.

Another area of dissatisfaction is admissions. More than half of the respondents are slightly dissatisfied, dissatisfied, or very dissatisfied with trustee efforts here; 31.1 percent are slightly satisfied; 12.2 percent, satisfied; and 4.7 percent, very satisfied. There is little reference in the professional literature to the trustees' role in

admissions. It's possible that part of the respondents' dissatisfaction results from the fact that the president and his or her administrators are not communicating with the trustees about what is expected from them in the area of admissions.

The trustee's role as a donor, however, is better understood. Arthur C. Frantzreb suggests that a primary responsibility of trustees is to make financial contributions. Frantzreb describes the role this way: "To participate in the current budget support program as a mandated obligation to the fullest extent of capacity; in special programs as capable; and in planned gift programs by bequest, estate plan, and/or deferred gift device."[24]

Presidents and administrators of small colleges seem relatively satisfied with their trustees' financial contributions. Over 70 percent expressed satisfaction; 13.4 percent are very satisfied; 21.5 percent are satisfied; and 35.5 percent slightly satisfied. Almost 30 percent expressed dissatisfaction—10.8 percent are slightly dissatisfied, 11.3 percent dissatisfied, and 7.5 percent very dissatisfied.

In explaining the role and responsibilities of college and university boards, John W. Nason describes the trustees' obligation in fund raising: "[to] participate by their own giving and by their effectiveness in asking others to give. Without strong trustee leadership no capital campaign is likely to succeed, and the board which lacks individuals of ample means and generous motivations will have a hard time."[25]

These hard times are exacerbated at small colleges by their general state of "fragile stability." If administrators' satisfaction with trustees is not high, then expectations are probably not being communicated and the presidential/trustee teamwork necessary to effective advancement is probably not working. As Pocock suggests, "The trustee truly becomes the peer surrogate of the president. After all, trustees guide the policy at the highest level, they preside over expenditures, they watch over the future. It is the trustees who legitimately join with the president in cultivating and soliciting major donors."[26] If there were greater satisfaction with trustee efforts, the teamwork between the president and the trustees would be more effective in assuring success for the small college.

Use of consultants

In the six years since the first study, the use of consultants has significantly increased—from 44 percent to 76 percent today.[27] Table 22 reflects the areas where respondents used consultants.

Table 22: Areas Consultants Used

Areas	Percent
Foundations and corporations	60.0
Development records	13.8
Admissions	10.0
Public relations	5.4
Individual direction	1.5
Other	6.3

It is interesting to note that 60 percent of the respondents used consultants' help in approaching foundations and corporations. This also happens to be the area in which respondents indicated that the staff was most adequately trained (see Table 19). On the other hand, of the total philanthropic dollars given in the United States to all purposes, foundations and corporations account for only about 10 percent of the total. These small colleges, as you will note in Chapter 6, estimate that about 16 percent of their funds comes from this source. When approximately 85 percent of the total giving in this country comes from individuals, we may question the wisdom of putting so much effort into getting foundation grants.

Paying a consultant is not the only way to get outside advice. Here are some creative and less expensive ideas:

☐ working out a reciprocal agreement with a colleague from a similar institution;

☐ having periodic meetings of local advancement officers from other small institutions to discuss problems and share experiences;

☐ using trustees, alumni, or friends of the college who are willing to volunteer their services; and

☐ using the inexpensive services of the National Consulting Network of the Council of Independent Colleges (One Dupont Circle, Suite 320, Washington, DC 20036, (202) 466-7230).

Notes

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[4] William L. Pickett, "What Determines Fund-Raising Effectiveness?" CURRENTS, January 1982, p. 25.

[5] Willmer, *Small College Advancement Program,* p. 60.

[6] Ibid.

[7] Ibid., p. 76.

[8] Ibid., p. 55.

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[10] Ibid., p. 56.

[11] Gonser Gerber Tinker Stuhr, *Bulletin on Public Relations and Development for Colleges and Universities* (Chicago: 1984), p. 2.

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[13] Ibid., p. 76.

[14] Ibid.

[15] Ibid., p. 63.

[16] Ibid., p. 62.

[17] Ibid.

[18] Ibid.

[19] Ibid.

[20] Ibid., p. 63.

[21] Ibid., p. 77.

[22] Michael Radock, *The Fund Raising Role* (Washington, DC: Association of Governing Boards of Universities and Colleges, February 1983), p. 3.

[23] John W. Pocock, "Fund Raising: The Board's Role," *AGB Reports*, July/August 1985, pp. 40-42.

[24] Arthur C. Frantzreb, ed., *Trustees' Role in Advancement*, New Directions for Institutional Advancement, no. 14 (San Francisco: Jossey-Bass, 1981), p. 30.

[25] John W. Nason, *The Nature of Trusteeship: The Role and Responsibilities of College and University Boards* (Washington, DC: Association of Governing Boards of Universities and Colleges, 1982), pp. 26-28.

[26] Pocock, "Fund Raising: The Board's Role," pp. 40-42.

[27] Willmer, *Small College Advancement Program*, p. 77.

Chapter 3

Institutional Relations

The general pressures that have confronted higher education in student recruitment, fund raising, and declining public confidence have become major issues for institutional relations personnel. As Art Ciervo says, "The institutional relations person is expected to assist the admissions office when enrollment is a problem; to help with fund raising where there is a financial crunch; to be a mediator in town-gown relations; and to be involved in legislative affairs."[1] Some of the management data this survey explored included budgets, staffing, image development, public relations goals, and publications efforts.

Budget allocations for institutional relations

The high and low range, mean, and median budget figures for each of the enrollment sizes are presented in Table 23. As expected, even within the enrollment groups, there is great diversity in the range of monies being expended. The average of the means for the entire study is $91,460. The average of the medians is just under $80,000 ($78,995). In all enrollment groups, personnel costs are generally a big part of the expenditures.

Table 23: Institutional Relations Expenditures by Enrollment Size (FTE)

	Range			
Enrollment	Low	High	Mean	Median
Up to 500	$ 17,648	$ 89,819	$ 49,445	$ 46,390
501-750	9,690	211,126	67,422	50,000
751-1,000	10,000	200,078	74,954	64,002
1,001-1,250	25,558	233,220	89,598	73,833
1,251-1,500	40,000	213,511	102,737	97,730
1,501-2,000	34,720	218,000	110,837	99,665
2,001 +	58,170	304,867	145,233	121,346

Institutional relations personnel

At the heart of good institutional relations is a solid knowledge of your audience. Only when you know your audience will you be able to promote an understanding of your institution's mission. Especially for the small college, this task requires many people; in addition to advancement personnel, the trustees and the president must be involved. Often it is the personal relationships that these people establish that make the difference. A personal testimony of commitment and belief in the institution carries a lot of influence.

Few small institutions have the luxury of a full-time advancement staff. Rather, most people have several tasks, with institutional relations only one of many responsibilities. For this study, I looked at both professional and clerical/secretarial staffing at the responding institutions.

Professional staff

Table 24 outlines the high and low range and mean staffing pattern by enrollment. The average of the means for the entire study is 1.8 FTE.

Table 24: Institutional Relations Professionals by Enrollment Size (FTE)

	Range			
Enrollment	Low	High	Mean	Median
Up to 500	.4	2	0.9	.75
501-750	.4	3	1.6	1.00
751-1,000	.4	4	1.8	2.00
1,001-1,250	.4	5	2.0	1.00
1,251-1,500	.5	6	2.1	2.00
1,501-2,000	1.0	4	2.2	2.00
2,001 +	1.0	3	2.0	2.00

The range is from .4 to 6 FTE. The average of the medians is 1.6 FTE. Most of these professional generalists wear several hats and handle a diversity of assignments in news service, publications, and community relations.

Clerical/secretarial staff

Limited staff sizes and diversity of tasks are the norm for the clerical/secretarial staff also. Table 25 shows that the range varies from 0.3 to 4 FTE. The average of the means is 0.9 FTE.

Table 25: Institutional Relations Clerical/Secretarial Staff by Enrollment Size (FTE)

Enrollment	Range		Mean	Median
	Low	High		
Up to 500	.3	2	0.5	.5
501-750	.3	2	0.7	1.0
751-1,000	.3	3	0.9	1.0
1,001-1,250	.3	4	1.0	1.0
1,251-1,500	.4	2	1.1	1.0
1,501-2,000	.5	2	1.2	1.0
2,001 +	.4	2	1.0	1.0

It's important not only to have enough people but to have good people as well. Schrader and Bolton provide the following criteria for the ideal institutional relations professional. He or she has:

1. a deep dedication to higher education and an understanding of its many facets;
2. a dedication to the institution; he or she works continually at understanding it better;
3. acceptance as a member of the administrative team; he or she is also acceptable to the governing board, the chief executive, fellow administrators, the faculty, students, and alumni;
4. knowledge of the principles of good management and sound administration; he or she clearly demonstrates this knowledge in difficult situations;
5. expert communication skills in the written and the spoken word; he or she constantly tries to improve techniques in the use of language and the transmission of ideas;
6. the endurance of the extrovert and the patience and analytical skills of the introvert, belief in the worth of the effort, and the ability to ask for help and for money; and
7. the professional enthusiasm to stay current with the relevant literature, including government affairs and tax information; new techniques for institutional relations, development, and communications; the best thinking and writing by practitioners in other institutions; and the writings and speeches of educational leaders on campus and in government.[2]

Small college institutional relations staffs should work toward the ideal described by these characteristics.

Image development

The image of the institution held by its publics is a reflection of understanding—and with understanding comes support. Therefore, a critical task of the institutional relations area is monitoring this image. Small colleges have been called many names. The title of the Carnegie Commission report by Astin and Lee, *The Invisible Col-*

leges, aptly addresses the difficulty of most small colleges—they are unknown beyond their own communities.[3] This is a big barrier to success.

Among the surveyed colleges 80.6 percent believe they present a clear and consistent image of themselves. About one in five (19.4 percent) do not feel that they present a clear and consistent image. When we compare these results with the age of the responding institution, we find that the older the institution the higher the percentage of people who believe that the institution does not present a clear and consistent image.

Table 26: Institution Presents a Clear Image

Age (Years)	Yes (Percent)	No (Percent)
Less than 10	.54	0
11-25	5.90	.54
26-50	12.40	2.70
51-75	10.80	3.20
Over 76	50.80	12.90

When I asked the colleges to consider the statement, "I think our image should be modified to more adequately satisfy the needs of our clientele," the responses were diverse. As Table 27 shows, a little over half (54.1 percent) either disagreed or strongly disagreed. Apparently they are satisfied with the image they are projecting. On the other hand, almost one in five (17.8 percent) of the respondents were unsure, and 28.1 percent either agreed or strongly agreed that the image should be modified. In other words, almost half of the respondents were unsure or dissatisfied with the image of the institution. This is certainly a critical issue for the viability of these small colleges.

Table 27: Institutional Image Needs Modification

Response	N	Relative frequency (Percent)	Cumulative frequency (Percent)
Strongly agree	15	8.1	8.1
Agree	37	20.0	28.1
Unsure	33	17.8	45.9
Disagree	55	29.7	75.6
Strongly disagree	45	24.4	100.0

If the institution's image needs to be modified, whose task should it be? As Table 28 reflects, almost half of the respondents (46.2 percent) feel it is the president's job, 21.2 percent point their finger at the board of trustees, 16.8 percent look to the advancement office, and 15.8 percent feel other administrative offices should make the modifications. This is probably why the job doesn't get done—everyone is expecting someone else to do it. The other responses were general, such as: "everyone," "the faculty," "admissions," "college planning committees," and "administrative committees." Both clarity of mission, as discussed in Chapter 1, and

clarity of image, as suggested by the responses in Tables 27 and 28, are critical ingredients to the long-term viability of the small college.

Table 28: Responsibility for Image Modification

	Percent
President	46.2
Board	21.2
Advancement office	16.8
Other	15.8

Institutional relations goals

What are the goals of small college institutional relations offices? Table 29 shows the colleges' responses when asked to rank certain goals. The top four (in order of importance) are: attracting new students, building and holding goodwill for the institution, fund raising, and improving the college's academic reputation. Educating the public about higher education and providing a community service are the least important goals.

Table 29: Institutional Relations Goals Ranked

	Importance			
Goal	Great	Moderate	Somewhat	Little
Attract prospective students	173	8	4	1
Build and hold goodwill for the institution	146	37	3	1
Raise funds	137	34	12	5
Add to the college's academic reputation	112	55	17	4
Good community relations	79	88	19	1
Report news	47	87	37	12
Good faculty relations	41	75	50	18
Show the importance of religion in education	34	52	49	44
Educate the public about higher education	21	64	64	34
Provide a community service	19	79	67	18

The top six goals were the same in the 1980 study. The only change is slight—the goal of providing a community service has decreased in importance. It was last in this survey but seventh out of 10 in 1980.[4]

External relations

Less than a third (31.7 percent) of the institutions have a public relations advisory group comprised of people outside the institution. This is an increase from six years ago when only 22 percent had such a group.[5]

Despite the fact that the small colleges in the study are independent, over half are still making an effort to improve their relationship with different government agencies. I asked, "Within the last year, how many voluntary activities (lobbying, dinners, visits, etc.) have been conducted to improve your institution's relationship with a state or federal agency?" Table 30 gives the answers. Many of the colleges (43.2 percent) are doing nothing to foster better relationships with state or government agencies. Forty percent (40.5) conduct one to four activities a year. Over 16 percent (16.3 percent) have five or more such activities each year. These results are similar to those reported in 1980 when the average for institutions making some effort was 3.7 activities a year.[6] There is no correlation between the enrollment size of the institutions in this study and the number of government relations activities they conduct.

Table 30: Government Relations Activities

Number of activities	Percent participating
1-2	22.1
3-4	18.4
5+	16.3
None	43.2

Publications

A primary means of promoting understanding is through a well-planned and coordinated publications program. Essentially all of the institutions have a tabloid, a newspaper, or a magazine that is mailed regularly. These three formats are represented more or less equally among the responding colleges. As Table 31 shows, 62 percent of the colleges mail their publication quarterly, compared to 68 percent in 1980.[7] Seven percent mail only once or twice a year, 19 percent three times, and 12 percent five or more times.

Table 31: Mailing Frequency of Primary Publication

Times per year	Percent
1	2
2	5
3	19
4	62
5+	12

The readership of the publication is also important. Only 23.4 percent of respondents have conducted a readership survey of the primary publication in the past three years. The average of the means in the 1980 study was 19.7 percent, so a slight

improvement in this area is evident.[8] But this still leaves 76.6 percent of the respondents with no recent readership survey. It is difficult to believe that good image development or effective communication is taking place unless some type of consistent feedback or evaluation is available to measure progress on goals.

Notes

1 Arthur V. Ciervo, "Professionalism, Performance, and Productivity," in *Handbook of Institutional Advancement*, ed. A. Westley Rowland (San Francisco: Jossey-Bass, 1977), p. 14.

2 Richardson Schrader and Earl C. Bolton, "Professional in Campus Public Relations and Development," *Techniques*, June 1972, pp. 14-19.

3 Alexander W. Astin and Calvin B. T. Lee, *The Invisible Colleges: A Profile of Small Private Colleges with Limited Resources* (New York: McGraw-Hill, 1972), p. 10.

4 Wesley K. Willmer, *The Small College Advancement Program: Managing for Results* (Washington, DC: Council for Advancement and Support of Education, 1981), p. 90.

5 Ibid., p. 89.

6 Ibid., p. 92.

7 Ibid., p. 90.

8 Ibid., p. 91.

Chapter 4

Recruitment/Admissions

Only in recent years has recruitment/admissions become a part of the advancement office's external relations functions. When I asked the small college survey group to list the functions that come under advancement (see Chapter 2), 41.6 percent included admissions. As the concept of institutional advancement becomes more widely accepted, the recognition of admissions as an advancement function will increase. For this reason, even though only a few questions covered this area, I believe that a chapter providing guidelines for recruitment/admissions will be useful now and in years to come.

Budget expenditures for recruitment/admissions

Table 32 summarizes the responding institutions' total expenditures (including salaries, benefits, travel, and media/promotion expenses) on admissions. The range of expenditures is great, from a low of $10,000 to a high of $614,470. Enrollment seems to have little to do with the amount of monies allocated to admissions. The average of the means for the study population is $235,680. The average of the medians is $210,203.

*Table 32: Admissions Expenditures by Enrollment Size (FTE)**

	Range			
Enrollment	Low	High	Mean	Median
Up to 500	$ 50,000	$ 245,532	$ 128,795	$ 116,899
501-750	10,000	391,393	202,191	189,941
751-1,000	80,000	443,462	244,650	242,517
1,001-1,250	55,000	614,470	247,841	232,490
1,251-1,500	63,254	503,554	269,904	199,103
1,501-2,000	78,486	457,000	294,761	285,539
2,001 +	128,557	388,054	261,617	204,929

* Includes salaries, benefits, travel, and media/promotion expenses.

Admissions/recruitment personnel

The admissions staff is a vital link between the institution and prospective students. This survey provides data on the professional and clerical/secretarial staffs involved in admissions. As Ihlanfeldt points out, "The principal role that the admission director must play is that of manager; one who is responsible not only for orchestrating an extensive communication between prospective students and those who participate in the learning process on a daily basis—undergraduate students and members of the faculty—but also for planning and assessing this process."[1]

To accomplish this the manager needs authority. Just over half (51.2 percent) of the chief admissions officers report to the president. Table 33 shows the other people to whom the chief admissions officer reports. Over 18 percent (18.6 percent) report to the vice president for academic affairs, and 11.7 percent report to the vice president for advancement.

Table 33: Chief Admissions Officer Reporting Lines

Reports to:	Percent
President	51.2
V.P., Academic Affairs	18.6
V.P., Advancement	11.7
V.P., Student Affairs	9.0
Other	9.0
V.P., Finance	0.5

Professional staff

Table 34 outlines staffing patterns for admissions professionals. The range is from 1 to 10 FTE professionals. The average of the means is 4.8. The average of the medians is 5.0 FTE.

Table 34: Admissions Professionals by Enrollment Size (FTE)

	Range			
Enrollment	Low	High	Mean	Median
Up to 500	1	7	3.0	3.2
501-750	1	7	4.6	5.0
751-1,000	1	9	4.7	5.0
1,001-1,250	1	8	4.8	4.5
1,251-1,500	1	10	4.9	4.5
1,501-2,000	2	10	6.3	7.0
2,001 +	3	7	5.7	5.6

Clerical/secretarial staff

Table 35 shows the range of clerical/secretarial staffing for admissions to be 0.3 to 6 FTE. The average of the means for all the institutions is 2.7 FTE. The average of the medians is 2.3 FTE.

Table 35: Admissions Clerical/Secretarial Staff by Enrollment Size (FTE)

	Range			
Enrollment	Low	High	Mean	Median
Up to 500	.3	3	1.7	1.5
501-750	.5	4	2.2	2.0
751-1,000	1.0	4	2.3	2.0
1,001-1,250	1.0	5	2.3	2.0
1,251-1,500	1.0	5	2.6	1.5
1,501-2,000	1.0	6	3.5	4.0
2,001 +	2.0	6	4.0	3.0

Inquiries, applicants, and matriculants

The recruitment/admissions effort is a numbers game by which the institution attempts to turn inquiries and applicants into matriculated students. For an idea of how many potential students (inquiries and applicants) small colleges actually deal with, look at the figures in Table 36.

Table 36: Admissions Inquiries, Applicants, and Matriculants (New Students)

Category	Ranges	Percent
Inquiries	Below 3,453	23.8
	3,454-5,300	23.8
	5,301-8,900	25.0
	Over 8,901	27.4
Applicants	Below 403	25.3
	404-629	27.0
	630-899	19.1
	Over 900	28.7
Matriculants	Below 199	23.0
	200-299	28.9
	300-399	20.3
	Over 400	27.8

There is no pattern by enrollment size so the data are not broken down by this category. At the top and bottom of the range, 23.8 percent of the institutions had fewer than 3,453 inquiries while 27.4 percent had over 8,901. A quarter (25 percent exactly) had 5,301 to 8,900 inquiries, and 23.8 percent received between 3,454

to 5,300. Of course, the quality of the inquiries affects the actual numbers of applications the college receives.

Looking at applicants, we see that a quarter of the colleges (25.3 percent) reported processing fewer than 403 applications while 28.7 percent processed over 900; 27 percent received between 404 to 629 applications, and the remaining 19.1 percent received 630 to 899.

The next—and the most important—question to ask is, how many applicants become tuition-paying students? Half of the respondents (49.2) received between 200 to 399 matriculants; 27.8 percent had over 400; while 23 percent ended up with fewer than 199.

Cost to matriculate one student

One of the important gauges of management effectiveness in recruitment/admissions is how many dollars are spent to matriculate one student. To find this figure, I divided total admission expenditures (salaries, benefits, travel, and media/promotion) by the number of students who actually matriculated. Table 37 gives the ranges, means, and median costs. The range is wide—it costs from $60 to $2,885 to matriculate one student. The average of the means is $796; and the average of the medians is $700.

But money is not the only answer to enrollment problems; today's admissions efforts must be market oriented. Ihlanfeldt points out that this requires: "(1) better market research and institutional assessment, (2) to permit better planning, (3) to facilitate better communication with potential markets."[2]

*Table 37: Admissions Costs to Matriculate One Student**

Enrollment	Range		Mean cost per matriculant	Median cost per matriculant
	Low	High		
Up to 500	$ 203	$ 2,668	$ 934	$ 676
501-750	69	2,885	939	787
751-1,000	60	2,065	933	854
1,001-1,250	134	1,023	635	682
1,251-1,500	140	1,238	585	604
1,501-2,000	235	2,243	903	744
2,001 +	134	1,361	647	546

* Includes salaries, benefits, travel, and media/promotion.

Of the colleges surveyed, 78 percent have conducted market research in the last three years to determine why students attend their institutions. At 52.1 percent of the colleges, the advancement office publishes the student recruitment literature, compared to 58 percent in the 1980 study.[3]

Enrollment reports

When I asked, "Are you experiencing enrollment growth or decline compared with three years ago?" 68.8 percent replied that they were experiencing growth, and 31.2 percent reported decline. Similarly, when I asked about enrollment projections for the next three years, 81.3 percent anticipated growth and 18.7 percent anticipated decline. No doubt most institutions wish they could be considered "hot" so that prospective students would be seeking them out and competing to get in, but unfortunately this is not the case for most small colleges.[4]

Notes

[1] William Ihlanfeldt, *Achieving Optimal Enrollments and Tuition Revenues* (San Francisco: Jossey-Bass, 1980), p. x.

[2] Ibid.

[3] Wesley K. Willmer, *The Small College Advancement Program: Managing for Results* (Washington, DC: Council for Advancement and Support of Education, 1981), p. 91.

[4] Michael Winerip, "Hot Colleges and How They Get that Way," *The New York Times Magazine*, November 14, 1984, pp. 69-72.

Chapter 5

Alumni Affairs

Loyal alumni are the backbone of small college advancement. Alumni send their children to the college, they support the alumni fund, and they are faithful ambassadors of goodwill. Because the focus of the advancement process in the chapters on recruitment/admissions, fund raising, and institutional relations encompasses alumni, this chapter is relatively short.

Budget expenditures for alumni affairs

Table 38 shows institutional expenditures for alumni activities.

Table 38: Alumni Affairs Expenditures by Enrollment Size (FTE)

	Range			
Enrollment	Low	High	Mean	Median
Up to 500	$ 1,000	$ 83,417	$ 28,907	$ 20,800
501-750	1,000	122,790	38,305	35,286
751-1,000	10,000	181,412	48,868	46,023
1,001-1,250	5,000	107,921	49,732	52,406
1,251-1,500	20,000	79,727	52,679	53,995
1,501-2,000	3,000	92,176	56,629	54,141
2,001 +	20,597	129,846	61,615	51,771

As you can see, the range is large—responding institutions spend from $1,000 to $181,412 on alumni affairs. The means range from $28,907 to $61,615 with an average of $48,105. The average of the medians is $44,917.

Alumni affairs personnel

Longevity of service and commitment to the institution are important characteristics of both professional and clerical/secretarial staffs in the alumni affairs function. The survey results provide data on staff sizes in both these areas.

Table 39 gives the highs and lows of the ranges, the means, and the medians of professionals working in the alumni affairs area. The range is .25 to 3 FTE. The average of the means is 1.2 FTE, and the average of the medians is 1 FTE professional staff person in alumni affairs.

Table 39: Alumni Affairs Professionals by Enrollment Size (FTE)

	Range			
Enrollment	Low	High	Mean	Median
Up to 500	.3	1	1.0	1
501-750	.25	2	1.0	1
751-1,000	.3	2	1.3	1
1,001-1,250	.4	3	1.4	1
1,251-1,500	.3	2	1.1	1
1,501-2,000	.4	2	1.2	1
2,001 +	.5	3	1.4	1

The ranges and staff size for clerical/secretarial personnel are similar to those for professional staff. Table 40 shows the range from none to 3 FTE clerical/secretarial staff. The average of the means is 1.2 FTE. The average of the medians is 1.1 FTE.

Table 40: Alumni Affairs Clerical/Secretarial Staff by Enrollment (FTE)

	Range			
Enrollment	Low	High	Mean	Median
Up to 500	0	1	1.2	.5
501-750	0	2	1.1	1.0
751-1,000	.25	3	1.2	1.0
1,001-1,250	.25	2	1.1	1.0
1,251-1,500	.3	2	1.2	1.0
1,501-2,000	.3	2	1.3	1.0
2,001 +	.5	2	1.5	2.0

Ownership and funding

In the surveyed group, 18 percent have legally incorporated alumni organizations. The 82 percent that are not legally separate are funded by the college they represent. The situation was the same in 1980.[1]

Note

[1] Wesley K. Willmer, *The Small College Advancement Program: Managing for Results* (Washington, DC: CASE, 1981), p. 92.

Chapter 6

Fund Raising

"When the going gets tough, the tough go fund raising." That headline graced a news magazine article about the 1984-85 campaign season. Dennis Griffin, a vice president of St. Olaf College in Minnesota, is quoted as saying, "Small private liberal arts colleges are the most likely to be left in the dark."[1] Similarly, in referring to the years ahead, George Brakeley says, "The competition for the philanthropic dollar is going to be absolutely fierce."[2] Big, small, public, private—everyone is going after more and more funds. The small college is going to have to work doubly hard to succeed in this type of fund-raising environment.

This chapter provides information on budgeting, staffing, gift income, costs to fund raise, the annual fund, development strategies, and criteria for effectiveness. Each of these topics, when considered as part of the whole, should assist small colleges in their efforts to raise more funds.

Budget expenditures for fund raising

It takes money to raise money. Without at least a minimum-sized budget, effective fund raising is going to be hampered. Table 41 outlines the ranges, means, and medians for the small colleges surveyed. The range is from $5,000 to $550,000. The average of the means is $155,202; the average of the medians is $143,592.

*Table 41: Fund-raising Expenditures by Enrollment Size (FTE)**

	Range			
Enrollment	Low	High	Mean	Median
Up to 500	$ 17,351	$ 519,927	$ 114,186	$ 106,165
501-750	5,000	252,082	129,687	105,797
751-1,000	20,000	355,500	139,839	127,394
1,001-1,250	35,904	387,650	137,611	143,167
1,251-1,500	50,481	381,000	179,891	197,402
1,501-2,000	39,469	550,000	188,336	151,004
2,001 +	94,040	325,000	196,865	174,221

* Includes salaries, benefits, travel, etc.

Fund-raising personnel

Adequate staff, both professional and clerical/secretarial, are necessary for an effective fund-raising effort. Table 42 displays the comparative data on professional staff by enrollment. The range is a low of 1 FTE to a high of 9 FTE professionals. The average of the means is 3 FTE; the average of the medians is 2.8 FTE.

Table 42: Fund-raising Professionals by Enrollment Size (FTE)

	Range			
Enrollment	Low	High	Mean	Median
Up to 500	.33	6	2.3	2.00
501-750	1.00	5	2.3	2.00
751-1,000	1.00	5	2.8	2.5
1,001-1,250	1.00	9	2.7	3.0
1,251-1,500	.50	8	3.1	3.0
1,501-2,000	1.00	8	3.9	3.75
2,001 +	1.00	5	4.0	3.5

Table 43 shows the ranges, means, and medians for clerical/secretarial staffs. The range is 0.3 to 7 FTE clerical/secretarial staff. The average of the means is 2.5 FTE. The average of the medians is 2.1 FTE.

Table 43: Fund-raising Clerical/Secretarial Staff by Enrollment Size (FTE)

	Range			
Enrollment	Low	High	Mean	Median
Up to 500	.3	3.0	1.7	1.0
501-750	.5	4.5	2.0	1.5
751-1,000	.5	4.0	2.1	2.0
1,001-1,250	.5	6.0	2.4	2.0
1,251-1,500	.5	4.0	2.2	2.0
1,501-2,000	1.0	7.0	3.1	2.6
2,001 +	1.0	7.0	3.7	3.1

Gift income

The bottom line for the fund raiser at a small college is the actual money receipted. This research provides data for unrestricted gift income, capital gift income, and the sources of gifts, as well as who is making the solicitations.

Gift income goals are set by different people at different institutions. At 42.8 percent of the institutions, the institutional advancement staff and the board set the fund-raising goals. At 22.5 percent of the institutions, the president makes these decisions. At 12.8 percent the board makes these decisions alone, and at 21.9 percent some other people or a combination of people set the income goals.

Unrestricted gift income

Tuition, on the average, covers 70 to 95 percent of the costs at a small college. Unrestricted gift income is the balance that makes up the budget—a critical priority for small college fund raisers. Table 44 displays the ranges and the means for gift income by enrollment size. Gift income ranges from none to a high of $3,800,000. The average of the means is $689,064.

Table 44: Unrestricted Gift Income by Enrollment Size (FTE)

	Range		
Enrollment	Low	High	Mean
Up to 500	$ 0	$ 1,217,492	$ 570,488
501-750	15,856	3,000,000	661,536
751-1,000	340	3,800,000	884,140
1,001-1,250	136,783	1,593,097	676,737
1,251-1,500	0	2,027,452	725,008
1,501-2,000	118,542	1,400,000	784,695
2,001 +	43,065	1,609,674	520,846

Capital gift income

Over and above the unrestricted income needed to balance the budget, ongoing capital needs are often met with special project campaigns. Table 45 lists the ranges and means of capital gift income. The range is from no capital raised to a high of $4,600,000—certainly quite a spread. The average of the means is $780,115.

Table 45: Capital Gift Income by Enrollment Size (FTE)

	Range		
Enrollment	Low	High	Mean
Up to 500	0	$ 4,100,000	$ 845,933
501-750	0	2,600,000	571,939
751-1,000	0	3,402,392	766,712
1,001-1,250	0	4,600,000	922,246
1,251-1,500	0	3,432,891	833,127
1,501-2,000	0	4,013,675	966,316
2,001 +	0	1,507,311	554,534

Both unrestricted and capital gift income have risen substantially in the six years since the previous study—generally income has doubled over the six-year period.[3] The average of the means for total gift income (unrestricted and capital) for the current study is $1,469,179. There is no consistent pattern for gift income by enrollment size of institution.

Gift income by mailing list size

Another way to look at gift income is by mailing list size. A larger list can provide greater income. (It's important to note, however, that a big list is not necessarily a quality list, as Table 53 on p. 00 shows.) Table 46 suggests the relationship between list size and gift income, both capital and operations.

Table 46: Mean Gift Income and Mailing List Size

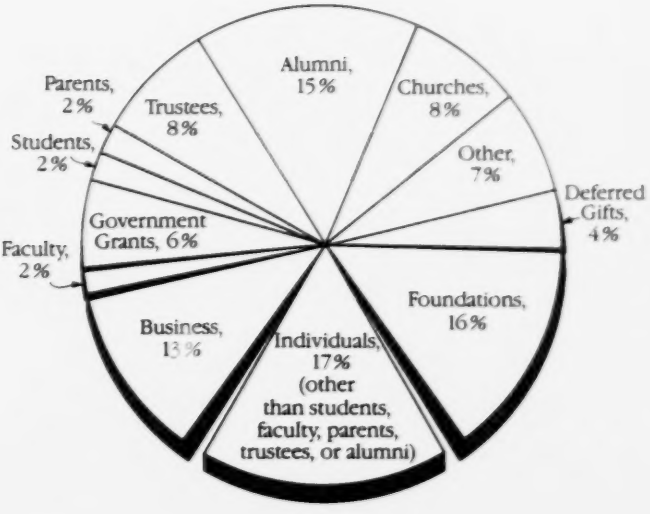
List size	Operations	Capital	Total
50-6,000	$ 307,158	$ 300,384	$ 607,542
6,001-9,000	636,061	763,543	1,399,604
9,001-16,000	748,035	871,098	1,619,133
16,001-99,999	993,465	1,072,243	2,065,708

As would be expected, the colleges with larger gift income have the larger mailing lists. An active purge cycle is essential to keep deadwood (nongivers) off the list and to keep list quality high. Generally a smaller, active list is more cost effective. An active research program that measures the attitudes of the people on the list can help keep your communications effective and improve gift income.

Income by source

A variety of constituent sources provides the gift income to small colleges. Illustration 1 shows the distribution. Individuals (other than students, faculty, parents, trustees, or alumni) constitute the largest single source—17 percent.

Illustration 1: Gift Income by Constituency Source



Added to this 17 percent are gifts from other individuals—alumni (15 percent), trustees (8 percent), parents (2 percent), students (2 percent), faculty (2 percent), deferred gifts (4 percent), and "other" (7 percent) for a total of 57 percent of income directly from people. (Listed in the "other" category were what most respondents described as unnamed donors. I don't know why these gifts were not included in gifts from individuals.) Foundations give 16 percent, business adds another 13 percent, churches give 8 percent, and government grants total 6 percent.

There is no significant trend of source by enrollment. We can, however, make two general observations: The larger colleges get a slightly higher percentage of their funds from foundations, businesses, and corporations, while the smaller institutions rely more heavily upon individuals. There is no significant difference in the other categories.

Comparing these figures with those of 1980, we see that the most dramatic drops are in government grants (down from 10.7 percent to 6 percent) and church support (down from 13 percent to 8 percent). Income from foundations is the only noticeable increase, from 13.7 to 16 percent.[4]

Face-to-face solicitation

The most effective way to raise larger gifts from individuals is by making face-to-face calls. I asked, "Of all $1,000-plus donors and prospects solicited face-to-face, what percent were by trustees, presidents, staff, volunteers, others?" Respondents said the staff was the most active, making 38.2 percent of these calls. The president made 31.1 percent of the calls, while volunteers (other than trustees) accounted for 11.6 percent. Trustees were the solicitors in 10.7 percent of the calls, and others did the soliciting in 7.2 percent. This distribution of involvement is consistent with the findings of the 1980 study.[5]

Table 47 gives the distribution of face-to-face solicitations by different caller groups. It divides the reported distribution of calls into thirds for each caller group.

Table 47: Solicitors of $1,000 Face-to-face Donations (Percent)

Caller	Relative frequency	Caller	Relative frequency
President		*Volunteers* *	
Less than 33	25.8	Less than 33	51.0
33-66	21.6	33-66	3.0
More than 66	31.1	More than 66	3.0
Staff		*Other* *	
Less than 33	17.4	Less than 33	12.8
33-66	16.3	33-66	1.0
More than 66	18.4	More than 66	1.0
Trustees *			
Less than 33	64.2		
33-66	1.0		
More than 66	1.0		

* Figures are based on reported frequencies. Actual totals may vary but only negligibly.

Fund-raising costs

A key management tool to assess fund-raising efficiency is to determine how much it costs to raise a dollar. The cost to raise one dollar for the mean total (unrestricted and capital) income in our study population ranges from $.10 to $.16 per dollar raised. The mean fund-raising cost for total income is $.11 per dollar raised. The mean fund-raising cost to raise unrestricted dollars ranges from $.20 to $.36 per dollar raised, and the mean for all the colleges is $.26 per dollar raised. Keep in mind that these are means, and the diversity is great among individual institutions. The range is from $.02 to $.75 per dollar raised. There is no significant difference in fund-raising costs when they are analyzed against enrollment size. However, the efficiency of raising funds does vary according to how much income is received.

Table 48 shows how the cost of raising money decreases as the amount of money raised increases. This makes sense because the larger sums of income usually mean that a larger percentage of the funds are coming from capital sources. The percentage of institutional funds (E&G) needed to raise these funds remains fairly constant across the different gift income levels, as Table 49 shows. The average across the board is 3.04 percent.

Table 48: Cost to Raise a Dollar of Gift Income

Gift income raised	Cost to raise (per dollar)
$150,000-400,000	$ 0.34
400,001-700,000	0.26
700,001-1,200,000	0.18
1,200,001-1,600,000	0.14
1,600,000 +	0.07

Table 49: Percent of E&G Funds Spent on Fund Raising by Total Income (Capital and Unrestricted)

Income	Mean
$150,000-400,000	2.1
400,001-700,000	2.8
700,001-1,200,000	3.6
1,200,001-1,600,000	3.1
1,600,000 +	3.6

A third way to look at fund-raising costs is by mailing list size. Table 50 shows the mean fund-raising costs as a percentage of the total E&G, broken down by size of list. As we might have expected, the costs of fund raising go up with the size of the mailing list. The larger lists represent the larger institutions with larger fund-raising programs. They also are likely to raise larger gift incomes.

Table 50: Fund-raising Expenses as a Percentage of Total E&G, by Mailing List Size

Mailing list size	Mean
50-6,000	2.0
6,001-9,000	2.6
9,001-16,000	2.6
16,001-99,999	3.7

Annual fund

The annual fund, those general unrestricted monies that must be raised each year to balance the budget, is a major priority among small college fund raisers. According to the research, about two-thirds of the responding colleges indicated that they spend over half of their fund-raising efforts to bring in unrestricted monies.

A successful annual fund program requires an effective communications process with donors and prospects alike. At the heart of this effort is a good direct mail program. The mailing list is the starting point and the foundation for almost all annual giving programs. Table 51 shows the range and means of mailing list sizes according to enrollment. The range is from a low of 500 to a high of 50,000 names. (Note the qualification: Some unusually large lists were eliminated because they would have skewed the mean.)

The means range from 10,295 to 16,687. The average of the means for the study is 13,207 names. Fifty-one percent of the responding colleges have a mailing list under 11,000; 31 percent have lists between 11,000 to 19,000; and 18 percent have lists of 19,000 or more.

Table 51: Mailing List Size by Enrollment (FTE)

	Range		
Enrollment	Low	High	Mean
Up to 500	500	35,000*	11,971
501-750	5,000	20,200 +	10,295
751-1,000	5,000	30,000**	13,106
1,001-1,250	800	35,000	13,344
1,251-1,500	5,134	17,000	10,976
1,501-2,000	1,600	50,000	16,687
2,001 +	6,000	23,949	16,075

* One school reported a list of 105,000, which would bring the mean up to 16,688.

\+ One school reported a list of 900,000 and another a list of 80,000, which would raise the mean to 40,014.

** One school reported 220,000; this would bring the mean to 19,801.

In the 1980 study, the mailing lists ranged from 1,000 to 75,000 names with a mean of 13,238—basically the same size as the lists in today's study.[6]

Time spent on soliciting unrestricted funds

Table 52 shows the percentage of fund-raising efforts devoted to raising unrestricted monies.

Table 52: Fund Raising for Unrestricted Funds

Percent of time	Percent of institutions
Less than 50	34.5
50-75	35.0
More than 75	30.5

The results show three nearly equal groups—about one-third of the colleges spend less than 50 percent of their time, one-third spend 50 to 75 percent of their time, and one-third spend over 75 percent of their fund-raising efforts on bringing in unrestricted funds. It is a constant, all-absorbing pressure for small college fund raisers.

Active donors on list

The real key to mailing list efficiency is the percentage of the names on the list who are active donors. List size is not a significant variable as we can see from Table 53, which shows the percentage of active donors by mailing list size. The range is 19 to 25 percent with the average being 21.75 percent. There is no significant correlation between list size and active donors.

Table 53: Active Donors on Mailing List

List size	Percent of active donors
50-6,000	20
6,001-9,000	23
9,001-16,000	25
16,001-99,999	19

A second way to look at list activity is by calculating the percentage of those who gave at least one gift. Table 54 shows the respondents' spread. Just over 40 percent (40.5 percent) of the colleges indicated that 20 percent or fewer of the people on their lists have given at least one gift. Add to this another 51.1 percent of the colleges that said 21 to 50 percent of their list have given at least once. This

means that at 91.6 percent of the colleges, half or fewer of the people on the mailing list have given once to the institution. If half or more are nondonors, then we need to ask why the names are being maintained and at what cost. Probably colleges need to do more purging of names.

Table 54: Percent of Mailing List Who Gave at Least Once

Percent of list	Percent of respondents
Below 10	14.4
11-20	26.1
21-35	37.8
36-50	13.3
51-75	2.8
Over 75	5.6

Mailing frequency and personalization

While the most important factor in direct mail response is the quality of the list—do the people like your institution and are they willing to support it?—frequency of asking and personalization of appeals also greatly affect the amount raised.

Table 55 shows the frequency of appeals to various constituent prospect groups. General appeals are sent three or four times a year by 43.3 percent of the colleges. About a quarter (24.3 percent) send general appeals twice a year, and 15.4 percent send one general appeal a year. Just over 5 percent send five or more. Most colleges certainly have a conservative mailing program.

When it comes to major donors, 46.1 percent mail one or two times each year. About 14 percent (13.8 percent) mail three, four, or five times, and 40.3 percent do not single out a major donor category. Lapsed donors get one appeal at 21 percent of the institutions, two at 19.4 percent of the institutions, and three, four, or five at 13.8 percent. Most likely more gifts would come in if the constituents were asked more regularly and the appeals were more personalized.

Table 55: Mailing Frequency to Constituents

	Frequency of appeals (Percent)					
Constituent group	1	2	3	4	5	N/A
General appeals	15.4	24.3	22.5	20.8	5.4	11.5
Major donors	23.3	22.8	8.3	3.3	2.2	40.3
Regular donors	16.2	21.1	9.2	8.1	2.2	43.2
Lapsed donors	21.0	19.4	5.9	4.3	1.6	47.8
Nondonors	18.6	17.2	5.3	5.3	2.2	51.6
First-time donors	16.3	6.8	1.6	.5	1.6	73.2

Another effective way to increase gifts from mailing lists is to personalize the appeals. Table 56 shows that over half of the colleges (58.2 percent) personalize

to small groups only, while 10.6 percent personalize the general list only, and 28 percent personalize mostly the general list. Just over 3 percent (3.2 percent) never personalize appeals.

*Table 56: Use of Personal Appeal Letters**

Constituent	Percent
Small groups only	58.2
General list only	10.6
General list mostly	28.0
Never personalize	3.2

* These letters have donor's name and address in both the salutation and the body of the letter.

Records and acknowledgements

As would be expected, in the past six years the number of institutions that maintain their donor records by computer has almost doubled—from 38.7 percent in 1980 to 72.8 percent in the current study.[7] Another 3.3 percent use an outside service, and 23.9 percent are using a manual system to maintain donor records.

About one college in 10 (11.1 percent) acknowledges a gift on the same day it comes in. Another 62.6 percent acknowledge gifts within three days, while 23.7 percent require four to seven days, and 2.6 percent say it takes over eight working days to acknowledge a gift. In the 1980 study, the average time to acknowledge a gift was 3.3 days for 71 percent of the institutions.[8] The current study shows 73.7 percent completing this task in three days or less—no appreciable difference from what the 1980 survey found.

Membership in college fund-raising associations

Over three-quarters (78.9 percent) of the survey respondents are members of an association of colleges organized to raise funds. This is up from 73 percent in the 1980 study.[9] The percentage of unrestricted income received through these associations varies widely. Table 57 shows the distribution. Just over a third (36.2 percent) of the institutions receive less than 5 percent of their income from this association. At 40.3 percent of the colleges, this income accounts for 6 to 14 percent, and 23.5 percent of the institutions receive more than 15 percent of their income from this source.

Table 57: Unrestricted Funds Received Through an Association

Percent of total unrestricted funds	Percent of institutions
5 percent or less	36.2
6 to 14 percent	40.3
15 percent or more	23.5

Fund-raising strategies

Within available resources of money and personnel, the small colleges I surveyed are trying as many different approaches as possible to raise as much money as possible. This section looks at some of the strategies—or, in some cases, lack of strategies—that were reported.

Written fund-raising goals

Every institution wants to raise as much money as possible. However, when I asked which areas had written fund-raising goals and objectives, the respondents gave the replies reported in Table 58. The predominant concerns are to increase income (72.6 percent), increase new donors (66.3 percent), and increase average size of gifts (63.2 percent). Written goals are used by a little less than half of the institutions (45.8 percent) to renew lapsed donors and by 28.9 percent to increase the frequency of donor gifts; 12.6 percent have no written goals.

Table 58. Written Fund-raising Goals

Goal	Percent
To increase income	72.6
To increase number of new donors	66.3
To increase average size of gifts	63.2
To renew lapsed donors	45.8
To increase gift frequency	28.9
Other goals	13.7
No written goals	12.6

While 65.8 percent of the respondents said they have had a capital campaign in the last three years, 82.1 percent plan to conduct one in the next three years. This is a more aggressive approach than the 1980 study found; at that time only 42 percent had had a capital campaign in the last three years, and 72 percent planned to conduct a campaign in the next three years.[10] It appears that about 10 percent of the institutions planned a campaign but did not actually have one.

Fund-raising activities

Our survey group considers personal contact to be by far the most profitable activity in terms of net income (Table 59). The next highest is direct mail, and the third is phonathons. Radio is a significant factor for only three institutions and television for two.

Table 59: Fund-raising Activities Generating Most Income

Activity	Very successful	Moderately successful	Unsuccessful	N/A
Personal contact	171	11	3	5
Direct mail	97	78	4	11
Telemarketing (phonathons)	58	78	7	47
Special events (banquets, etc.)	24	65	17	84
Area representatives	15	29	10	136
Other	9	8	3	170
Radio programs/spots	3	3	13	172
TV programs/spots	2	—	12	176

When I asked, "If a prospective donor walked into your office today, would you have a case statement to hand to him/her?" 69 percent of the colleges answered yes; 31 percent said no.

About 73 percent of the colleges actively seek government grant funding; the remaining 27 percent do not. In 1980, 81 percent were seeking government grants. About one in 10 (10.5 percent) of the institutions have a legally separate fund-raising foundation; 89.5 percent do not. This is a slight increase from the 7 percent with a legally separate foundation in the 1980 study.[11]

Deferred gift activities

As Illustration 1 (page 44) shows, deferred gifts account for 4 percent of the gift income. Table 60 shows that 80.2 percent of the institutions actively solicit bequests, 69.1 percent actively solicit annuities, and 72.2 percent actively solicit trusts. Each of these categories shows about a 5-percentage point increase from the results reported in the 1980 study.[12]

Table 60: Deferred Gift Activity

Actively solicit:	Percent	Actively solicit:	Percent
Bequests		*Trusts*	
Yes	80.2	Yes	72.2
No	19.8	No	27.8
Annuities			
Yes	69.1		
No	30.9		

It appears that a greater concentration on deferred gift activity would pay off if a longer-term budget commitment could be made to securing planned gift commitments from constituents.

Criteria for effectiveness

Managers use several measurements to assess the effectiveness of their programs: return-on-investment (ratio of income generated to costs incurred), cost to gain a new donor, and strategies for renewing lapsed donors and attracting new donors. Only 43.3 percent of the respondents keep a written record on return-on-investment for various advancement strategies.

Almost 73 percent (72.8 percent) are unsure what it costs to gain a new donor. Of the 27 percent of the colleges that know, 3.9 percent said acquiring a new donor costs over $40, and 23.3 percent said the cost to gain a new donor was under $40. The high number of institutions that do not know the cost reflects a lack of self-evaluation that is evident in other areas as well.

About three-fourths (75.7 percent) of the institutions have a renewal strategy for donors who have not given in past years, and 81.5 percent have a strategy to attract new donors. Each of these components is critical to keeping the mailing list and development process alive and active.

One of the best ways to raise money is to know why your donors give. When I asked, "Have you conducted market analyses (who gives and why) of your donor constituency?" about a quarter (26.6 percent) said yes; 73.4 percent said no. In the 1980 study 19 percent of the respondents said that they had conducted donor market research.[13]

Even though the majority (73.4 percent) of these small colleges have not conducted research on who gives and why, they do have an opinion on what motivates donors. Of the reasons they gave, these two predominate: (1) belief in the mission of the institution and (2) trust in and loyalty to the institution. The third most common reason is the quality of the institution, and the fourth is community responsibility. Two other common responses are interest in higher education and denominational affiliation. Many gave a wide variety of other responses.

Table 61 summarizes responses to the question, "Other than the total amount of money raised, what single criterion is the most important in measuring your fund-raising program's effectiveness?" As might be expected, the most common answer to this open-ended question was "response of donors."

Table 61: Perceived Criteria for Fund-raising Effectiveness

Criteria	Percent
Response of donors	53
Efforts of alumni, president, trustees, volunteers, etc.	15
No answer	13
Favorable public perception of college	8
Institutional improvement	5
Cost/dollar raised	4
Admissions	1
Other	1

Other criteria mentioned included new donors, number of donors, size of gifts, donor relationships, image of the institution, and effectiveness of volunteers.

Notes

[1] "Fierce Competition for Dollars," *Time*, September 24, 1984, p. 73.

[2] *The Chronicle of Higher Education*, September 4, 1985, p. 52.

[3] Wesley K. Willmer, *The Small College Advancement Program: Managing for Results* (Washington, DC: Council for Advancement and Support of Education, 1981), p. 86.

[4] Ibid., p. 82.

[5] Ibid., p. 81.

[6] Ibid., p. 83.

[7] Ibid.

[8] Ibid.

[9] Ibid., p. 79.

[10] Ibid., p. 84.

[11] Ibid.

[12] Ibid.

[13] Ibid.

Chapter 7

A Conceptual Framework

The material presented in the preceding chapters provided you with the means of comparing your institution's advancement program with those of other small colleges. But because every college is different, each unique in its own way, comparison with other institutions is often not enough. This chapter sets forth a conceptual framework, developed from the literature, which gives standards for comparison.

The framework is exploratory—it was first proposed in the 1980 study.[1] It advances a set of standards designed to assess the process of institutional advancement at the small college. Good standards, however, need a period of incubation, pampering, and refinement before they can claim maturity. Not all of these standards have undergone this process. But they can still serve as a starting point that can be improved on as the field matures and becomes more sophisticated. Several people have already adapted this theory to other applications and have been very pleased with the benchmarks. Although more time is needed to test these guidelines, this study has helped refine the framework.

Throughout the framework, where standards are projected, I give a range rather than an absolute figure. As Jacobson says, "A range is preferable because advancement indicators need not be so precise as to require an absolute figure."[2] This approach also allows greater tolerance for the great diversity among small colleges. Activities that are successful in one institution may be totally ineffective in another. Thus the editors of the American Alumni Council's manual, *Fundamentals of Educational Fund Raising*, warn: "[T]hat which is right, or that which will work in one institution, is not necessarily correct for another."[3]

John Leslie concurs with this opinion: "It is difficult at this point to offer criteria for evaluating advancement programs that will be equally appropriate for all institutions of higher learning."[4] Thus an initial and exploratory attempt such as this one provides benchmarks for further testing.

Keep in mind that this research focuses on the *process* of institutional advancement—not the products. It is concerned with means and not ends. This does not negate the importance of an assessment of the products or end results of institutional advancement programs. To the contrary, that should be an important part of any advancement program. For a wealth of data for product and productivity assessment, consult *Planning and Data System Fund Raising Module*, published by the Council for the Advancement of Small Colleges (CASC), now the Council of Independent Colleges (CIC).[5]

The theoretical framework that I developed contains five major elements (Illustration 2): (1) institutional commitment, (2) authority and organizational structure, (3) personnel resources, (4) advancement activities and functions, and (5) evaluation: an integral part of advancement.

Illustration 2: Process Assessment Framework Outline (Revised 1986)

I. Institutional commitment
  A. Articulation of goals, objectives, and long-range plans.
    1. Institutions should have a long-range plan that includes projected program changes and a long-range budget.
    2. An institution's objectives should be in writing and clearly known to the advancement officer.
    3. The advancement officer should have written annual goals and objectives.
  B. Budget allocation
    1. From 5 to 9 percent of the total educational and general (E&G) budget should be for advancement.
    2. A dollar should be raised for every 25 to 40 cents spent for the advancement process.
  C. Staffing commitment
    1. Five to nine professional advancement personnel should be employed.
    2. Three to seven supporting (clerical/secretarial) staff should be employed.

II. Authority and organizational structure
  A. Advancement management authority
    1. The chief advancement officer should report to the president of the institution.
    2. The chief advancement officer should have a position in the top executive officers' group.
  B. Advancement function centralization and organization
    1. The institutional advancement function should be centrally managed.
    2. The organizational model should foster centralization.

III. Personnel resources
  A. Professional staff
    1. The advancement manager should be experienced in advancement, knowledgeable about the institution, educated with preferably the doctorate, and assigned a title carrying authority.
    2. The president should be an active fund raiser and promoter of advancement activities; he or she should make more than 20 percent of the $1,000-plus calls and average more than eight calls per month.
  B. Volunteers
    1. Trustees and other volunteers should be involved in advancement activities.
    2. The college should have an active, working trustee committee and a public relations advisory group comprised of people outside the institution.
IV. Advancement activities and functions
  A. Fund-raising activities
    1. Fund-raising programs should include efforts to raise annual unrestricted support, capital giving needs, and deferred gifts.
    2. Gift solicitations should be made by the trustees, president, staff, and volunteers; gift acknowledgements should be made within one to three days; and the mailing list should be as large as possible.
  B. Full-fledged advancement programs
    1. At least two to four voluntary government relations activities should be conducted each year.
    2. Small colleges should fund the alumni organization, have a special alumni program for recent graduates, and have regional alumni chapters.
    3. Between 1.4 and 2.0 professional staff full-time equivalents should be allocated to institutional relations.
    4. The publications program should include a centralized publication policy and the mailing of a principal publication at least quarterly.
V. Evaluation: An integral part of advancement
  A. Institutional goals and advancement practice: Advancement programs should contribute to the major public relations goals of attracting prospective students, raising funds, and building and holding goodwill for the institution.
  B. Evaluation tools: The advancement process should include a readership survey of publication recipients and market analysis of the donor constituency and the communication program.

Institutional commitment

A college's institutional advancement program requires a total commitment from the entire institution, not just the administrators in the advancement office. The entire institution has an important stake in its productivity.[6]

The function of institutional advancement is as vital and as essential as any of the other major functions of the college. In the long run, institutional advancement makes possible the achievement of all other functions. What happens in the classroom; how custodians treat visitors; how secretaries answer telephones; how faculty, staff, and students interact with the community; how institutional representatives perform—these and many more concerns are part of the program of institutional advancement.[7]

To achieve an effective advancement effort, the small college needs an institutional commitment that enhances and supports the efforts of the advancement professional. Indications of this commitment are found in three areas: (1) articulation of goals, objectives, and long-range plans, (2) budget allocation to advancement efforts, and (3) commitment to sufficient staffing.

Articulation of goals, objectives, and long-range plans

A college's philosophy toward institutional advancement is an important indication of its commitment. This philosophy has a significant bearing on what kinds of programs are offered and the way in which they are implemented, and it evolves out of the characteristics that identify a particular college.

A college's philosophy is expressed in its long-range plan, in the goals of its institutional advancement office, and in its written objectives. If a college does not have these three management tools, then the process of institutional advancement is going to be crippled.

Institutions should have a long-range plan that includes projected program changes and a long-range budget. Arthur C. Frantzreb, in a speech delivered at the CASC National Institute, called long-range plans "the basis for the organization's case for private sector support."[8] Frantzreb has also written, "Institutions which do not do an adequate job of planning will have the job done for them—perhaps to the extent of being planned right out of existence."[9]

All contemporary writers in the fund-raising field stress the absolute importance of a long-range plan. Walker Williams points out that the long-range plan is essential to developing the case statement. He goes on to say:

> It has two major components: a history, or background on organizational growth and previous accomplishments; and a projection of programs to be undertaken in the coming years, based on the capability of that organization.
>
> The case statement is primarily an internal document, used by Board and staff members to reflect and refine the ideas which will become the basis for specific projects and programs. After Board and staff consensus, this planning document then becomes the cornerstone upon which

all programmatic growth and resource development strategies are laid.[10]

William Pickett found that more overproductive colleges (those that raise more than their fund-raising potential would indicate) have a case statement than underproductive colleges.[11] People need to know what they are trying to do before they can do it. John Leslie says, "Sound planning is a prerequisite both for sound implementation of programs and for meaningful evaluation."[12] Without a long-range budget, the process of institutional advancement will be ineffective, disjointed, and lacking in consistent direction.

An institution's objectives should be in writing and clearly known to the advancement officer. At the Greenbrier I conference, delegates agreed that "a clear statement of institutional purposes is essential for an advancement program to be effective."[13] The advancement officer is responsible for interpreting the objectives of the institution to all its various constituents. If no objectives exist, then the advancement officer has to assume or create them, and this can be a very dangerous position. For, as Rowland says, "the institutional advancement program cannot be any more effective than the institution itself."[14] An institution must know its purpose and where it is going.[15]

David Ketchum, in remarks made before the 1976 CASE Annual Assembly, cautioned participants: "If you speak for an institution seeking major financial support today, you had better know in detail, as an institution, who you are, where you are, where you are going and be able to make a sound case for the wisdom of investment to help you get there."[16]

According to CIC's fund-raising module, an institution that hopes to succeed by developing an annual planning cycle must "define its institutional mission and goals. A focus on institutional purpose gives direction to all college-wide and departmental activities."[17]

Another reason for clear institutional objectives is the change in the giving habits of the oversolicited American during the past decade. Donors are now more sophisticated about how to give and what institutions to support.

Whether the advancement shop is small or large, "'the prerequisite for a successful performance of the development function in either is a clear and definitive statement of institutional mission."[18] The advancement officer must know the purpose, mission, philosophy, and objectives of the college. This is where the college gets a clear sense of identity and purpose.[19]

The advancement officer should have written annual goals and objectives. Statements of mission, goals, and objectives should be prepared for three levels: the institution, the institutional advancement program as a whole, and each individual advancement program.[20]

A. Westley Rowland points out that determination of goals is among the major concerns in the effective management of the institutional relations program. At the outset, it is necessary to identify goals consistent with and supportive of the overall objectives of the institution. The goals need to be all-inclusive and comprehensive, both long range and short range, and they must be consistent with the policies and regulations of the governing board of the institution. These goals should be in writing.[21]

John Leslie also supports the need for written advancement goals: "The advancement program plan details the implementation of the institution's master plan; it should be in writing, and subject to frequent revision and refinement." [22]

Institutional advancement must clearly define its mission. There is no greater goal that this.[23] Goals are important because they set directions; they provide a target toward which advancement efforts will be directed; they indicate priorities; and they give a real sense of what the advancement program is all about, where the program is going, and what the college wishes to achieve. Thus, goals are important operationally because they determine the level of budget needed, the number of staff, and the nature of functions and activities. These goals must be tailored to each institution.[24]

CIC's fund-raising module lists the development of "institutional and departmental objectives" as an essential part of the fund-raising process.[25] Planning is an all-important necessity in an advancement office: "[E]very step should be planned and every move set in its proper sequence."[26] It is a rule-of-thumb that an effective manager should spend 10 percent of the time planning. The advancement manager should establish the goals in cooperation with the staff and with the concurrence of the president.[27]

Budget allocation

Two good measures of the advancement process that can be quantified easily are the percentage of the total institutional budget committed to advancement and the cost of raising a gift dollar. Here it is important to use ranges and averages and to recognize diversity among colleges. Without sufficient funds to perform the advancement functions an institution needs and without at least a reasonable return of gift dollars, the institutional advancement process does not function as it should and will not yield the desired results.

From 5 to 9 percent of the total educational and general (E&G) budget should be for advancement. One of the most solid measures of an institution's commitment to the advancement program is the amount of funds that it budgets to perform advancement functions. The percentage of the budget spent on institutional advancement programs can be used as a quantitative measure of commitment. While an ideal percentage has not been established, the work of other researchers suggests appropriate ranges.[28]

John Leslie provided the pioneering effort in this area in the early '60s. His calculations were made on the basis of gift income ranges at state universities, private universities, and private colleges. Leslie continued to make these surveys over a 15-year period. Table 62 shows his results for private colleges, 1973-1976.

Table 62: Institutional Advancement Budget as a Percent of E&G [29]

Gift income range	Mean
$1,500,000 to $5,000,000	4.50
1,000,000 to 1,500,000	4.25
600,000 to 1,000,000	4.25
150,000 to 600,000	4.25

The range is from 2 to 10 percent for these private colleges. In comparison, the state universities and private universities commit between 1 and 2 percent of the institution's budget for advancement. In this same study, Leslie found a median of $213,000 and a range of $68,000 to $637,000 for annual expenditures for advancement programs at the private colleges.[30]

As Table 63 demonstrates, Leslie's data show a close correlation between the dollars an institution spends for institutional advancement programs and the amount of gift income it realizes.

Table 63: Gift Income and Institutional Advancement Expenditures *[31]

Quantile	Gift income range	Median advancement expenditures
1st	$1,000,000 to $3,000,000	$300,000
2nd	750,000 to 1,000,000	150,000
3rd	350,000 to 750,000	111,000
4th	200,000 to 350,000	90,000

* 1967-70 figures.

In his dissertation on private undergraduate colleges, William Pickett reports that overproductive fund-raising programs spend much more than do underproductive programs. More than two-thirds (69.8 percent) of the overproductive colleges spent over $100,000 annually on advancement programs, while almost that many (63.2 percent) of the underproductive colleges spent under $100,000. At the other end of the scale, 30.2 percent of the overproductive colleges spent more than $200,000 annually while only 7.9 percent of the underproductive colleges spent that much on advancement.[32] It appears from these data that in terms of fiscal 1974 dollars, $100,000 was the minimal annual advancement expenditure required for a productive fund-raising program.

The results of Leslie's studies over 15 years show that at most institutions the percent of educational and general expenditures allocated to advancement has leveled off, and the trend is toward committing an increasingly smaller proportion of the E&G budget to institutional advancement. This is contrary to the findings in Chapter 2, that expenditures for advancement have increased by nearly one-third.

A dollar should be raised for every 25 to 40 cents spent for the advancement process. Adequate funding is a prerequisite to the advancement process. The process is crippled, however, when the return of gift dollars per dollar spent is not sufficient. Obviously, the range of expenditures per gift dollar is very great, and we must be careful when we try to make generalizations.[33]

Both gift income and expenditures are affected by many factors, including allocation of professional staff, skill of the staff, affluence of the constituency, and geographic location. Pickett concentrated on some of these concerns.[34]

Table 64: Cost of Raising One Dollar for Private Colleges[35]

Gift income range*	Median institutional advancement expenditures	Median costs (cents)
$1,500,000 to $5,000,000	$325,000	10-14
1,000,000 to 1,500,000	275,000	20-24
600,000 to 1,000,000	175,000	20-24
150,000 to 600,000	125,000	25-29

* Bequests have been eliminated.

John Leslie's work again provides some useful guidelines. As Table 64 demonstrates, the cost of raising money goes down as an institution raises more money. Conversely, programs that raise the least money have the highest cents-per-dollar costs. Leslie points out that "with few exceptions, in the past decade the cost of raising private gift dollars has increased substantially for America's institutions of higher education. But nowhere has the rise been more dramatic than among private colleges, many of which can ill afford the extra burden."[36]

When Robert Cramer studied the development efforts of CIC (then CASC) colleges in 1965, he found a "lack of significant correlation between the amount of money the . . . colleges spent in financial development and the total amount of gifts received."[37]

Few, however, would disagree with Paul Gabrielsen's conclusion that "while individual circumstance can alter the averages, an advancement program should be expected to bring in at least what is spent for the activity, and several times that within three to five years."[38]

Staffing commitment

When A. Westley Rowland recommended a set of priorities for colleges developing an institutional advancement program, his first was: "Secure the commitment of the president of the institution to a viable institutional advancement program, properly staffed with an adequate budget."[39] And Leslie suggests, "Both organizational structure and the size of staffs are good indicators of an institution's commitment to advancing the understanding and support of its educational objectives."[40] Jacobson agrees: "The percentage of total [college] staff employed in institutional advancement programs can be used as an indicator of organizational commitment. Staff size and full-time equivalencies are measures that are relatively easy to quantify and that offer comparisons between peer institutions."[41]

Both professional staff and supporting clerical staff are a necessary part of the institutional advancement process.

Five to nine professional advancement personnel should be employed. Obviously, not every institution needs the same number of specific professional staff. As Leslie notes: "The number of professionals is importantly related to the objectives and complexity of the advancement program, and not simply to factors such as the type of institution, its enrollment, living alumni, and location."[42] But there

is a relationship between the number of professional staff employed and both the amount of gift income generated and the number of students matriculated. In general, according to Leslie, the median number of professional staff increases with the amount of gift income.[43]

Various studies have found that professional staffs at private colleges range from three to five professionals. According to Rowland, "It is agreed by most of those who have studied the administration of the institutional advancement function that four persons, perhaps three in certain cases, constitute the minimum professional staff to implement an effective institutional relations program."[44] Leslie also concludes that "four persons—maybe three in certain cases—constitute the minimum professional staff for an effective advancement program. Otherwise the staff would be spread so thin that effective impact would be jeopardized."[45] I would like to suggest that when we include admissions and the increased demand on today's advancement program, this figure is rarely adequate.

Table 65 shows a representative sample of staff sizes among the private colleges in Leslie's study. The range is one to 15.

Table 65: Advancement Professionals by Gift Income [46]

Gift income	Median staff size
Over $1,000,000	8
500,000 to 999,999	6
100,000 to 499,999	4

In his dissertation study, Gabrielsen found this range of professional staff also. He states, "Most small or private colleges have from three to five full-time professional staff."[47] He goes on to note that as an absolute minimum there should be one full-time professional to direct the college advancement program and one full-time assistant. Anything approaching an ideal advancement program will employ three or four full-time professionals with adequate secretarial and clerical help.[48]

Leslie cautions that a small shop is probably no better than none. Among the private colleges studied, the smaller the advancement expenditure, the less the institutional advancement median cents-costs. Leslie postulates that this may validate the adage that "a certain amount of money will inure to any institution regardless of its fund raising efforts."[49] Thus, the one-person shop may be a phenomenon that should not exist although many continue to believe in it. Harold Seymour, for example, says, "[O]ne good man, now as always, can make the light shine and work his wonders."[50]

Three to seven supporting (clerical/secretarial) staff should be employed. It can be said that a professional advancement officer is only as good as the support clerical/secretarial staff allows. Good advancement personnel are out of the office with the constituents, projecting the institution. But they can do this only if competent personnel maintain the homefires—organizing special events, recording and acknowledging gifts, and maintaining a flow of information. Most of the rationale presented for professional staff applies to clerical staff also. Although Gabriel-

sen and others talk about the need for "adequate secretarial and clerical help," the professional literature contains no studies on staff sizes of small independent colleges.[51] I estimate a range of three to seven supporting staff.

Authority and organizational structure

If an institution has established a commitment to institutional advancement, a complementing organizational structure is necessary to assure implementation of the advancement process. Leslie has identified several necessary components:

> An advancement program's organizational plan should:
> - establish authority and responsibility;
> - place the entire coordinated group of activities immediately under the president;
> - enable the president to centralize responsibility and accountability;
> - encourage and provide a mechanism for coordinated planning, implementation, and evaluation of all activities, such as financial support, information services, and publications;
> - provide for free flow of two-way communication;
> - ensure flexibility and the implementation of structural and procedural changes as necessary.[52]

When we look at organizational structure, we need to assess two organizational process concerns: (1) advancement management authority and (2) centralization and organization of the advancement function. Several assessment criteria are developed for each area of the framework.

Advancement management authority

The advancement officer is important to the life and the survival of a small college. He or she should play an integral part in institutional policy decision making. To assure this, the chief advancement officer should report directly to the president and should be a member of the president's administrative cabinet. As Harvey Jacobson states:

> One of the most important indicators is the degree to which the institutional advancement coordinating officer contributes to policy decisions of the university. Two major factors determine the officer's contribution to policy. These are rank and relationship with the president, other executive officers, and the governing board. The coordinating officer should have a position in the top echelons of the organizational hierarchy, preferably in the executive officers' group. Many observers believe that the closer the top officer is to the center of university power

> and decision making, the more commitment the university has to the [advancement] function.[53]

Without institutional involvement in policy decisions, the chief advancement officer lacks authority, and his or her effectiveness is seriously diminished.

The chief advancement officer should report to the president of the institution. The advancement program—the overall program to advance the understanding and support of the institution—is an integral part of any college. The manager of the advancement program needs immediate access to the president of the institution.[54]

The president of a college is its principal fund raiser and the chief institutional advancement officer for the institution.[55, 56] Ideally, then, there should be a special functional relationship between the president and the institutional advancement officer.[57] It is important that there be a strong bond of mutual confidence and respect between these two people; otherwise the advancement process will be adversely affected. As Gabrielsen comments: "The positioning of the director of development in the hierarchy of the institution is vitally important. He should report directly to the president. . . . He must occupy a policy role, meaning that he has a voice in major policies affecting the institution."[58] Baker suggests that the best way to provide effective leadership and avoid diffusion of effort is to align all advancement functions under the jurisdiction of one administrative officer who reports to the president.[59]

John Leslie agrees. According to Leslie, "It is literally impossible for a modern American small private college to achieve its potential without having as part of the top administrative team someone who is [highly] qualified to plan and oversee the execution of an effective fund raising program; responsible to the president and the board but utilizing all the skill, ability and resources of a high quality development program."[60]

The chief advancement officer should have a position in the top executive officers' group. Authority and input to institutional policy-making decisions are prerequisites to a healthy advancement process. As Rowland suggests, the function of institutional advancement is as vital and as essential as any of the other major functions of the institution. Advancement assumes this stature in the academic community because, in the long run, it makes possible the achievement of all other functions of the institution. Without a broad, effective program of institutional advancement, no college or university can gain the broad-based support from all its constituencies that will allow it to achieve its goals, whatever they may be.[61]

To achieve this authority, the chief advancement officer must function at the highest policy level. This chief officer should be a member of the president's executive group, have access to all institutional personnel and policies, and report directly to the president.[62] If the advancement officer does not function at this level, his or her effectiveness is vitiated.

Conferees at Greenbrier I focused on the critical importance of the advancement function when they concluded that the advancement officer should "serve

as a member of the president's immediate staff in policymaking and planning."[63]

Ten years later Leslie endorses this idea: "If the institution is to derive maximum effectiveness from its advancement program, the manager must be a part of the president's chief executive staff together with managers of the academic, student, and business activities."[64] Leslie notes that while over half of the private colleges had advancement managers, they were not typically involved in key decisions affecting the institution.[65]

In his study of state university advancement efforts, Baker concludes that the chief official for advancement should be one of the four principal officers (academic, student services, business, and advancement) on the president's executive staff. This chief officer should be involved in policy decisions relating to the institution's total program.[66] More recently Jacobson emphasizes the importance of the advancement officer's participation (rather than assistance) in policy making for the institution.[67]

Advancement function centralization and organization

The advancement function is most effective when authority is centralized in a chief officer who reports to the president and serves on the president's cabinet. It then follows that all formal activities of institutional advancement (institutional relations, fund raising, alumni relations, government relations, and publications) should be coordinated for maximum effectiveness.

Institutional advancement functions should be translated into programs that are organized in a manner that fosters and assures coordination. An institution is not likely to carry out the overall process effectively if it is not clear where the responsibility for coordination lies.[68] It is therefore essential that the various functions of the advancement process be centrally managed.

The institutional advancement function should be centrally managed. According to the report from the Greenbrier I conference, the most important conclusion of this study of the internal organization of colleges is the need for centralization. At most American institutions of higher education, there is a clear need for administrative coordination of the functions of public relations, alumni relations, and fund raising. And coordination usually implies supervision of these activities by a single executive office. The report goes on to indicate that the consensus of the conferees favored a unified organizational approach with one officer who reports directly to the president and is responsible for the coordination and direction of the three activities. According to the Greenbrier report, while only a fifth of the institutions had such an organizational structure, the vast majority (86.4 percent) favored this arrangement.[69]

In *Focus on Understanding and Support,* Leslie says that "it has been found that the centralized approach is the most effective way to provide the necessary leadership for the advancement program."[70] Numerous studies provide evidence of a trend toward centralization. In fact, the centralized management approach is the only organizational pattern in wide use.[71]

Leslie summarizes the advantages of a centralized approach as follows:

- it centralizes accountability and responsibility under the president;
- it encourages systematic planning, implementation, and evaluation;
- it expedites communication;
- it provides more coordination and greater flexibility, thereby avoiding some of the causes of duplication and inefficiency.[72]

Centralization is a process that fosters efficiency and cooperation. Shea warns, however, that "coordination and cooperation do not come naturally. They must be developed and nurtured by leadership."[73] It is the coordinating manager who, with his or her staff, has the responsibility of seeing that the components of the advancement program are administered effectively.

As with any of the framework components, the centralization process alone is not directly related to productivity. Pickett found no significant difference in productivity between centralized and noncentralized advancement programs.[74] This does not negate the importance of centralization as a significant process step in developing a productive advancement program. But an effective advancement program must have more than centralized management—it must be a comprehensive program effort with continuity of performance in each area.[75]

One of the important factors of an advancement program is its age. It takes time to nurture and gain support. According to the Greenbrier I report:

> Essentially, generous financial support flows from an atmosphere of interest, good will, confidence in the institution, and an honest sense of obligation. These are not qualities which can be turned on and off; they represent long-time building. If they are lacking, no amount of professional ingenuity can produce results.[76]

More recently Jacobson says, "One important factor in the building of a successful institutional advancement program is its age. Deep loyalty and support are not developed overnight. A myth that repeatedly surfaces in the development area is the 'get rich quick' myth, the idea that an institution hires a hot-shot 'money magnet' and doubles in a month or two."[77] How long an institution has had the centralized approach provides a measure of the advancement process.

The organizational model should foster centralization. An organizational chart should be an accurate visual portrayal of the procedures deemed necessary to obtain desired objectives. It delineates lines of authority and responsibility that are a necessary concern of the advancement process. For instance, one way to assess whether an administrator has policy input is to find his or her position on the institution's organizational chart.[78] The organizational chart serves both executive and staff in showing authority, functions, and lines of communication.

One of the tasks of the chief advancement officer is to determine how the function will be organized. Organization is important because it relates to efficiency, assignment of responsibilities, staff and budget considerations, reporting lines, and

goal accomplishment. The trend in advancement organizations today is toward centralization in which all advancement functions are grouped under a single director or vice president. [79]

While there is no "best" organization pattern, certain practices foster efficiency and productivity. There are two basic organizational models: (1) centralization of the functions under a director or vice president who reports to the president, and (2) semi-centralization in which two or three functional directors report to the president. The first option has become the most popular and is the recommended approach for most institutions. [80]

In the structure found most often by the Leslie study, a director or vice president manages an advancement program consisting of alumni relations, fund raising, and public relations (including information services). In the second most common structure in this study, the three main advancement functions report to the managing officer.[81]

While people are always more important than charts, when unclear organizational procedures produce inefficiency and ineffectiveness, the study of an organizational chart can help pinpoint the problems.[82] For the small college, a centralized approach with a coordinating manager provides a greater option for a successful advancement process than other organizational arrangements.

Personnel resources

The process of institutional advancement cannot be implemented correctly without proper personnel resources. These personnel include the president of the institution and trustees and other volunteers as well as the advancement staff. As Seymour points out, in an area as important and as critical as educational fund raising, cheap help is the most expensive help.[83] The best investment that can be made, at almost any price, is an investment in top staff—people with ability, stability, loyalty, integrity, and common sense.

It is just as important for an institution to have competent and active personnel to advance the institution as it is to have an administration qualified to manage the institution. This section assesses personnel resources in two areas: professional staff (advancement staff and president) and volunteers (trustees and others).

Professional staff

An advancement officer's ability to operate effectively is determined by many factors—experience, education, title, age, personality, and knowledge of the institution. The paid professional staff, particularly the president and chief advancement officer, are the ones who determine whether a program works or not. As Rowland notes, "The success of the institutional advancement program in colleges and universities rests largely on the effectiveness of the management it receives...unless there is capable top-level management, the program cannot be successful."[84]

One of the conclusions of the first Greenbrier conference was that there was a "need for an upgrading of the qualifications of the personnel performing administrative duties in these areas of institutional advancement."[85]

The advancement manager should be experienced in advancement, knowledgeable about the institution, educated with preferably the doctorate, and assigned a title carrying authority. The Greenbrier conferees also concluded that advancement officers must:

> 1. possess professional techniques that can give the service needed;
> 2. acquire deep understanding of the educational process;
> 3. know perfectly the special problems in their institutions; and
> 4. be willing to be admitted to membership in the educational family on the basis of merit, not by reason of title or by executive legislation.[86]

The Greenbrier conference went on to report that the person who has a commitment to education and to the institution, a thorough knowledge of the institution, and a grasp of the techniques of the profession has what in the long run is the most desirable characteristic of all—competence.[87]

Leslie notes that "the manager of the institutional advancement program must be qualified in terms of experience and performance; otherwise the responsibilities and demands are unfair to him and the institution."[88] According to Gabrielsen, "The ideal director of development should have a considerable background of training and experience in the field of educational fund raising."[89] The literature suggests repeatedly that the only way to learn educational fund raising is through on-the-job training. This has begun to change in recent years as the literature of institutional advancement increases, but it is still true that experience is vital to competent personnel.

A second quality needed for advancement personnel is a comprehensive knowledge of the institution.[90] The role of the advancement office is to interpret the institution to all its publics. Such an interpretation cannot be very accurate without a thorough knowledge of the institution and a firsthand knowledge of its constituents. This usually requires several years at an institution.

Ideally, the director or vice president should have demonstrated good scholarship and held responsible educational positions.[91] As Rowland states in the *Handbook of Institutional Advancement*, "The institutional advancement officer must be concerned about his or her own academic qualifications first and about his or her professional institutional advancement skills second."[92]

According to S.B. Gould, "An advancement officer who hopes for acceptance in the academic community must have some qualifications as an educator or scholar."[93] More than any other people at the institution, advancement managers must keep themselves current in the literature of the field and on events affecting institutions of higher education.

It is necessary not only that the advancement officer think of himself or herself as an educator, but that the executives above see him or her as something more than a technician with a narrow assignment.[94] Managers must merit their position

through experience, performance, and imagination. They must be educators first—deans, business managers, and fund raisers second.[95]

Noel Johnston sums it up when he concludes: "It seems obvious that the new development man will be better educated. The doctorate will be commonplace. He will be a visionary, a dreamer in the best sense of the word."[96] This trend is evident in the data presented in Chapter 2.

Titles are an area of continuing flux. Thirty years ago the first Greenbrier conference agreed that finding an appropriate title to describe this function would itself be a contribution: "The problem of selecting a title is not a small one. One of the problems in bringing about a change in administrative structure is selling the concept to the members of the faculty and other administrators, and the overtones of a new title can be very meaningful."[97]

John Leslie explains the diversity of titles found in his 15-year study this way: "Titles tend to be meaningless in determining level of authority of the manager of the advancement program at different institutions. Although vice president is the most common title, there are directors, deans and assistants to the president who act as chief directing and coordinating officer for the advancement program. Of 64 advancement program managers in the 105 institutions in the study sample, 30 were vice presidents."[98]

The president should be an active fund raiser and promoter of advancement activities; he or she should make more than 20 percent of the $1,000-plus calls and average more than eight calls per month. As we discussed above, the president should assume an active role in the advancement effort, and a special relationship should exist between the president and the coordinating manager of the advancement program.[99] Presidents have both a particular opportunity and a particular responsibility in regard to securing major gifts, the kinds of gifts that may well spell the difference between survival and death for the small, independent college. The Greenbrier I conference was candid in reporting that successful fund raising requires manpower. The president of the institution as the chief fund raiser must be prepared to use his or her presence and influence.[100] Without a president who can raise funds, an advancement office is seriously crippled.

John Leslie found that among private colleges there is a correlation between the number of solicitation calls made by the president and the amount of gifts received. Drawing from his personal experience, Leslie concludes that an "active" fund-raising president is one who personally solicits 10 percent or more of the $100-plus donors.[101]

According to this CIC study, presidents call on 38.2 percent of the $1,000-plus prospects who are solicited for gifts. Another study of similar institutions (members of the Christian College Coalition) found that presidents spend 27 percent of their time on fund-raising activities.[102]

It is increasingly accepted that most colleges, when selecting a president, place high on the list of qualifications the capability to raise funds from the private sector. Studies have shown that presidents of successful institutions spend at least 20 percent of their time on fund raising, make an average of at least 10 calls per month

to ask for money, and inevitably spend the balance of their time worrying about the problem of resources.[103]

Wallace B. Groves, when he was addressing a Gonser Gerber Tinker Stuhr workshop, outlined four functions the president should assume in advancing the institution: "The president must personify the character and the goals of the institution he leads, he must communicate these goals to the college's constituent bodies, he must create a strong development staff, and he must be primarily responsible for fund raising."[104]

The advancement director has to rely on the president for the status and position that will enable him or her to be a key administrator. There is no way that a president of a college can sidestep leadership in fund raising. In the areas of making solicitation calls, cultivating major gift prospects, and establishing contact with foundations, the leadership of the president is particularly important. And this leadership is vital in the stimulation of volunteers to assist with these endeavors.[105]

When the president is not involved, an advancement effort is operating without its right arm. The president must be willing to make foundation and corporation calls, to recruit top volunteer leadership, to insist on and encourage continuity in development, and to use patience in cultivating top prospects.[106]

Volunteers

Volunteers, including trustees, can make a significant addition to personnel resources. Jacobson point out, "A successful program requires diverse participants and dedicated volunteers." [107] Personnel actively involved in the advancement program usually include both in-house staff and an outside corps of volunteers.

In the past, as Gabrielsen suggests, a college fund-raising program was continuously engaged in identifying a large number of prospects who would then be approached by a large number of volunteers.[108] However, as Leslie points out, "Direct staff solicitations have become fairly commonplace and the use of volunteers may not be consistent with theory and textbook approaches of a few years ago. Without question, professional staff persons are calling on a wide variety of donors, and calling by themselves."[109]

More and more private college fund raisers have come to realize that the do-it-yourself fund raiser is too expensive an anachronism. In this sophisticated, highly competitive area of management, professional know-how spells the difference between success and failure, between adequate dollars for support and a half-hearted response.[110] According to the CIC fund-raising module, "Volunteers raise a very small percentage of funds for small colleges. Large gifts almost always result from the work of the president or the chief fund raiser."[111]

Despite this trend, trustees and a select group of other volunteers should be soliciting for the college, and they should be involved in committees that help enhance the advancement efforts and assist the institution. For there is no way around the fact that personal involvement is a significant part of donor motivation: Ad-

vancement officers must never forget that the key to understanding on the part of our publics is involvement.[112]

Trustees and other volunteers should be involved in advancement activities. To accomplish a full-fledged advancement program, trustees and other volunteers should be used to raise funds. As the Greenbrier I report says, "In the private institution, the board must be a central agency in fund raising, and its members must be available for assistance."[113] No single thing is more important in the success of advancement efforts than to have trustees lead in deed and act as well as words. It has been said that trustees need to give, get, or get out. As Gabrielsen notes: "The board of trustees has a significant contribution to make to the institutional advancement program—not least its fund raising operations."[114]

The general rule-of-thumb is that personal calls should be between peers, with the solicitor possibly slightly higher in status than the person solicited. The only option, generally, is for trustees or other volunteers to assume these tasks. In John Leslie's study, which included 112 private colleges, one in five institutions reported that 50 percent or more of its trustees participated in fund-raising solicitations.[115]

Butler outlines six functions of trustees (and other volunteers) in raising funds: (1) trustees should be a constant source of information on new prospects; (2) trustees should evaluate and rate prospects; (3) trustees should provide advice on how best to approach a prospect; (4) trustees should conduct cultivation programs; (5) trustees should solicit funds and know how to "close the deal"; and (6) trustees should be helpful in following up their own solicitations and those of others.[116]

The college should have an active, working trustee committee and a public relations advisory group comprised of people outside the institution. If the purpose of institutional advancement is to gain understanding and support from constituent groups, then we need a process to allow input from constituents and to develop sensitivity to constituency needs. The two most common means of achieving this process are: (1) to have a trustee advancement committee and (2) to have a public relations advisory committee comprised of people outside the institution.

Arthur Frantzreb points out that "trustees must not only be willing to contribute to the college but be willing to be active in using their influence and contacts to acquire gift income from others." Frantzreb goes on to say, "In an effectively organized board, this activity will take place within the committee structure of the board. An active trustee committee on development supported by the chief advancement officer is a key fund raising policy."[117] A similarly important role is found for the public relations advisory group as it relates to all advancement concerns.

Pickett found "significantly more overproductive colleges had active trustee development committees compared with underproductive colleges. It was concluded that there was a positive relationship between active trustee committees for development and the productivity of the fund raising program."[118]

Gabrielsen suggests that "at the center of the development program should be a council or committee composed of representatives of all the central constituents of the institution."[119] This group usually becomes the public relations sounding board for the entire institution. This sounding board and the trustee committee are an integral part of an effective advancement effort.

Advancement activities and functions

Activities are functions that are carried out by programs.[120] These activities, in expressing quantitatively the types and levels of the institutional advancement process at small colleges, provide a means by which that advancement process can be assessed. The successful institutional advancement program should manifest itself in a carefully formulated program, not in random actions.[121]

Robert L. Stuhr, in an address to the annual staff meeting of the National Benevolent Association, suggested the need for aggressive development efforts as an integral part of the independent college's future: "We believe that the future of non-tax-supported colleges and universities remains bright for those institutions which have well-defined aims, quality programs, able management, aggressive development efforts, and leadership from the trustees and other volunteers."[122]

The development of an aggressive advancement effort implies a full-fledged advancement process. A. Westley Rowland suggests that it should be a priority to "develop a comprehensive program of institutional advancement activities consistent with both the institutional and the institutional advancement goals."[123] Which program elements should be developed first depends on the existing program, the short- and long-range needs of the college, and the budget available.

The responsibility for developing this comprehensive advancement program rests with the manager or coordinator of institutional advancement. The program should meet both institution-wide and advancement objectives.

Fund-raising activities

Fund raising is the most critical element of the advancement program, particularly in the small independent college. The bottom line for the advancement office in the small independent college is the amount of financial support raised. The majority of small colleges, usually unendowed, need to raise 10 to 40 percent of the institution's budget in unrestricted money for the books to balance each year. Most institutional budgets are very lean and if these funds do not come in, the consequences can be serious. This is why we say that the small, independent college operates on the basis of a "fragile stability." To raise the necessary funds, it is important to have a process that provides opportunities for giving and efforts that assure the results.

Fund-raising programs should include efforts to raise annual unrestricted support, capital giving needs, and deferred gifts. The fund-raising process should utilize many different kinds of planned programs to solicit funds—different methods of giving, different kinds of gifts, and different gift opportunities. Usually there are three kinds of solicitation programs: annual, capital, and deferred gifts.[124]

The July 1972 *Bulletin* published by Gonser Gerber Tinker Stuhr is devoted to the importance of having fund-raising programs that address all three financial needs. It underscores "the importance of the total development approach to donors—through the combined, simultaneous operation of the annual fund, a con-

tinuous solicitation for major capital gifts, and an estate planning program."[125] Many small colleges are preoccupied with raising annual unrestricted support, but this can be a trap unless they also implement active capital and deferred gifts programs.

As Pickett discovered in his study of undergraduate institutions, a college that is not actively seeking capital funds puts itself at a competitive disadvantage and tends to raise less money than it might. This is because capital campaigns by their nature seek larger amounts of money and tend to focus a fund-raising program on the bigger prospects and the larger gifts.[126] A 1977 edition of *On Development* by Gonser Gerber Tinker Stuhr asks: "Are your publics aware of your program for capital growth? Has your college made clear its capital needs?"[127]

Similarly, no small college can afford to be without an active, sustained estate planning effort. Generally, about 15 percent of the total voluntary support for higher education comes from wills, bequests, and other forms of estate planning. In hard times, colleges that have established estate planning programs have at least some measure of financial stability.[128]

The Pickett study shows that more overproductive than underproductive colleges had formalized deferred gifts programs.[129] Within reason, the deferred gift portfolio should include every reasonable alternative by which the prospective donor can provide for an investment that is compatible with his or her circumstances and effectively fulfills his or her objectives.[130]

The leanness of small college budgets makes it difficult for them to invest money to make money. However, as inflation continues to increase, deferred gifts will become increasingly attractive. Inflation often decreases cash flow and consequently the size of current gifts, but it also increases estates to sizable gift proportions. In a study reported by Arthur Frantzreb, the average time from the writing of a deferred gift to its receipt was 3.7 years.[131] If this continues to be true, it means that deferred gifts are not something that happens in the distant future but something of more immediate value that should be actively pursued.

Gift solicitations should be made by the trustees, president, staff, and volunteers; gift acknowledgements should be made within one to three days; and the mailing list should be as large as possible. To raise money you have to ask for it.[132] To keep a donor's goodwill and continued interest, you should acknowledge a gift promptly. And to find new donors, you should be continually adding names to the prospect mailing list. These three process concerns are vitally important to the success of the fund-raising efforts of the small independent college.

Selling by face-to-face contact is the most effective method known, and it is usually most effective when peers solicit peers.[133] For this reason, trustees and presidents need to play a significant role. Probably one of the greatest "sins" in the fund-raising business is to stay home. However, for the small college fund raiser, often inexperienced and apologetic about the institution, finding reasons to stay in the office is probably the easiest route.

From his studies, Leslie concludes that "there seemed to be some correlation between the number of solicitation calls made by the president and the amount of gifts."[134] While there is no general agreement on who is the best solicitor (presi-

dent, trustee, staff, etc.), there is general agreement that the more a college asks for support, the more support it will receive.

Pickett found that the overproductive colleges make more solicitation calls than do underproductive colleges.[135] However, quantity of calls cannot be correlated with success. The calls need to be *quality* calls—calls made on good prospects who have been carefully researched. On the other hand, if no calls are made at all, the process that can lead to success has not even begun.

Once a gift is received, it should be promptly receipted and acknowledged. The speed and kind of acknowledgement depend on who the donor is and the size of the gift. A large gift should get an immediate phone call, but *all* acknowledgements should be made within three days. In fact, Gabrielsen believes that "it should be an inviolate rule that all gifts are acknowledged by the day following their receipt."[136] The use of a computer for this task often pays for itself in increased effectiveness, accuracy, and flexibility. With or without the computer, prompt acknowledgement is essential.

The advancement office mailing list provides the backbone for solicitation efforts. And the larger the list, the greater the opportunities for fund-raising success. Pickett postulated that overproductive colleges have significantly larger mailing lists than do the underproductive colleges, but he concluded that mailing list size is not a useful way to characterize productivity. It is, however, a good indication that the process of prospect acquisition is taking place.

Full-fledged advancement programs

Traditionally, an effective and complete institutional advancement program includes six functional areas: executive management, fund raising, government relations, alumni affairs, institutional relations, and publications. Preceding sections of this framework have dealt with the first two areas, executive management and fund raising. This section is concerned with the other four functional areas that provide necessary support and complementing activities to the entire institutional advancement effort.

At least two to four voluntary government relations activities should be conducted each year. The small, independent college, which often prides itself on being private and non-government related, usually does not want to think about government relations. At best it is a love-hate relationship. As Francis Michelini points out, "They [the government] are part of our institutions, like it or not."[137]

Leslie recommends that a federal relations program "be designed to recognize and help influence political considerations present in all aspects of federal government operations, be they allocation of grant funds or passage of legislation." He goes on to note that "the importance of Washington extends beyond research grants."[138] It is essential that the institution be aware of legislative and executive actions, on the local and state level and in Washington.

Many small schools rely on state and national independent college associations

to be "the watchdog." And this can be a wise use of resources. But activities to foster a relationship with government are still important. A college needs to know key officials, and the key officials need to know the college. Government officials should be treated with respect.[139] They should be invited to attend important campus events, to give greetings from government, to lecture in the classroom, to have lunch with the president. In this way, the institution will "develop an effective liaison with government."[140]

Small colleges should fund the alumni organization, have a special alumni program for recent graduates, and have regional alumni chapters. According to *Voluntary Support of Education 1983-84,* individuals as a group contribute more to education than any other single donor group.[141] Included in this designation are alumni, who give almost half of this support. Their support accounts for 44 to 49 percent of the total.[142] Private colleges, as a whole, receive 17 to 20 percent of their gifts from alumni.[143] Generally, the smaller the enrollment, the greater the percentage of annual gifts given by alumni.

Three conditions can provide a process that encourages alumni support of a small college. The alumni organization generally needs a rudimentary budget from the institution; a program for young graduates helps meet the special cultivation needs of recent graduates; and regional alumni activities take the institution to where the alumni live.

The Greenbrier conference report concluded that a budget is necessary for successful alumni activities.[144] Particularly at small colleges, an alumni association seldom exists without the support of the advancement office. John Leslie found alumni associations that were legally and financially independent to be a rarity. Part of the successful alumni cultivation process, then, is institutional funding for the alumni organization.

Recent graduates of five years or fewer have special cultivation needs. They are like newlyweds. They need to be taught the rights and responsibilities of a college alumnus. Ideally, this process starts while they are still students, often during the senior year. Once the alumnus leaves campus, it is important that the college be represented in his or her region. Active regional chapters are an excellent process by which alumni are kept informed and interested in the concerns and affairs of their alma mater.

Between 1.4 and 2.0 professional staff full-time equivalents should be allocated to institutional relations. Gabrielsen points out that effective public relations must precede and support the whole advancement effort because it cultivates the understanding that is the fundamental basis for support and growth.[145] Without sufficient professional staff in the institutional relations area, professional fundraising staff members will be crippled unless they assume many of these responsibilities themselves. Two main areas of concern are media relations—writing news releases—and publications. Other activities include sports information, photography, special events, advertising, and other related activities. It is obvious that most professionals must be proficient at many different functions. Without enough staff, none of the functions will get done correctly.

The publications program should include a centralized publication policy and

the mailing of a principal publication at least quarterly. A publications program is a vital part of institutional advancement.[146] It is basic to any advancement effort. The process should include a major publication that is mailed at least quarterly and a centralized publication process that allows the advancement office to control the volume and quality of publications. Such a publications effort allows the advancement office to communicate effectively with all of the institution's several different constituencies.

The CIC fund-raising module calls communication with various constituencies one of the "essential elements in a total resource development program."[147] Gonser Gerber Tinker Stuhr have stressed the importance of communication with donors. "Continuous, close communication with donors is imperative in these new times for colleges and universities—times in which the traditional priority of higher education is being questioned and in which apprehension and pessimism over the economy nag the philanthropic impulses of many donors."[148] The same thing can be said of potential donors.

While personal communication is a valuable and irreplaceable medium for providing information to a donor or prospective donor, there are so many donors that a program of printed information is necessary. This program should be of acceptable quality, and the message should be consistent with the public relations goals of the institution. These goals should include continuous, regular programs of interpreting the institution's goals to its constituencies rather than quick responses to campus pressures.

If you are following the advancement process recommended in the criteria above, then you have put in motion a process of institutional advancement that should be producing successful outcomes. The next sections deal with the fine-tuning of this process.

Evaluation: An integral part of advancement

All advancement programs are subject to periodic evaluations. The coordinating manager can choose to evaluate or he or she can allow evaluation to take place by default. As Leslie says, "Good management is not something which is installed in a one-time operation and then lives on forever. Continuing good management results from frequent review of practices, evaluation of performance, and improvement in techniques."[149]

Institutional advancement managers often say that they are so busy in the trenches they have no time for the truly important. "We just do the best we can under the circumstances, duck quickly, and try to be philosophical about it" is a typical comment. But the careful manager practices evaluation as an important part of the advancement process. According to Jacobson, "The manager who wants to be a policy maker rather than a bureaucratic technician must provide for a continuous flow of relevant information on which to base decisions."[150] And Leslie also warns that "the institution's chief executive officers need to recognize that evaluation is an important management tool and without it planning and implementation will be less effective."[151]

D.E. Gardner has identified five basic evaluation frameworks that can be used separately or collectively: "(1) evaluation as professional judgment, (2) evaluation as measurement, (3) evaluation as the assessment of congruence between performance and objectives [or standards of performance], (4) decision-oriented evaluation, and (5) goal/free/responsive evaluation."[152]

The method you choose is not as important as the fact that you are doing an evaluation. An evaluation should include a comparison of the program priorities with the public relations goals and an assessment of whether market analysis is being done for communications and fund raising. Through the process of evaluation, the institutional advancement program can be refined and adjusted to assure maximum effectiveness.

Institutional goals and advancement practice

One type of internal evaluation is an assessment of the advancement program as measured against the stated public relations goals. Is there consistency: (1) between the public relations goals and the needs of the institution and (2) between the public relations goals and the institutional advancement program. Leslie notes that "an advancement program must ultimately be evaluated with respect to achievement of the institution's educational objectives."[153] These objectives are often reflected in the public relations goals.

Advancement managers need to base as many decisions as possible on objective information. In *Evaluating Advancement Programs,* Jacobson suggests that the more sophisticated managers are about the advancement process and the findings of evaluation, the greater their ability to provide effective programs.

Advancement programs should contribute to the major public relations goals of attracting prospective students, raising funds, and building and holding goodwill for the institution. For the small, independent college, survival usually depends on attracting prospective students and raising sufficient unrestricted support. Without these two ingredients there is no future. If the process of institutional advancement, then, is interpreting the needs of the institution, the public relations goals should reflect the need to attract students, raise funds, and build and hold goodwill for the institution. The institution should clearly state these goals, and the advancement process should contribute to their realization. It is important that these public relations goals be an integral part of the management and direction of the institution. In turn, these public relations goals become the responsibility of everyone connected with the institution.

When Rowland studied 272 members of the American College Public Relations Association in 1954-55, he found that building and holding goodwill was the highest-rated objective. (This confirmed previous studies by Ryan, Fine, Hawk, and Heath.) The second highest-rated objective of the ACPRA members was to keep the college's publics informed as to aims, progress, and needs. Student recruitment and raising funds ranked third and fourth. Among the private colleges in the sample,

however, attracting students was the second highest priority and keeping the public informed was the third.[154]

C.J. Young's 1968 dissertation study of the campuses in the State University of New York system concluded that the most desirable public relations objectives were: (1) to keep the colleges' publics informed as to aims, progress, news, and new trends, and (2) to attract the best qualified faculty, staff, and students. Young found that the least important PR objectives to the SUNY institutions were raising funds and educating the publics about the problems of higher education in general.[155]

Evalution tools

Rowland points out that "evaluation is essential to effective institutional advancement. Continuing feedback and information from all of an institution's constituencies are the raw materials for change, correction, and redirection."[156] The advancement process must include evaluation tools that enable the evaluator to listen to what various constituencies are saying.

In *Management in Higher Education,* Thad L. Hungate defines evaluation as:

> the process of securing value judgments essential to the improvement of the services of the institution. These judgments may be based on objective evidence, on experience, on subjective judgment, or on any combination of the three. Such judgments seek to assess the suitability or desirability of an activity or resource in relation both to institutional purpose and to cost. There can be no rational improvement in institutional services without the exercise of value judgments concerning all aspects of operations. Indeed every act of management reflects such judgment. The concern is to provide more adequate bases for them and hence increase their reliability.[157]

Although Leslie points out that it is difficult to offer criteria for evaluation that will be equally appropriate for all institutions of higher learning, evaluation can and should be done.[158]

Jacobson summarizes how evaluation can help the advancement manager:

> • gain a deeper insight into the ways in which several components of an institutional advancement system are interdependent;
>
> • come to some conclusions about preferred standards, reducing the chances of surprise and acquiescence when faced with standards suggested or imposed by outside forces;
>
> • demonstrate stewardship, that is, the use of resources for the purposes intended;
>
> • eliminate unnecessary assembly of data by clarifying and refining record-collecting procedures and policies;
>
> • help personnel within an operation to better understand their roles in relation to the total operation's mission;

- help personnel outside of the operation understand the functions of institutional advancement;
- reduce uncertainty by providing greater organizational stability through a planned program that incorporates change and improvement in a systematic manner;
- decrease reliance on crisis management by providing information on which managers can base long-range operational plans;
- contribute to the enrichment of the profession by exchange of data, analysis, and conclusions.[159]

The manager who recognizes the importance of evaluation as an integral part of the institutional advancement process will use evaluative input in such areas as donor profiles, communication programs, and readership polls of the mailing list constituencies. These evaluation tools can help provide the data necessary to change and refine the program.

The advancement process should include a readership survey of publication recipients and market analysis of the donor constituency and the communication program. Advancement managers who hope to achieve the primary public relations goals of attracting students, raising funds, and building and holding the goodwill of the public must know who their constituencies are and what they think. Three areas of analysis are most useful to the manager: a readership survey, an evaluation of who the donors are and why they give, and an evaluation of the effectiveness of the communication program among various constituencies.

Goldhaber notes that communication is the most central process to any organization. Without the knowledge of how an institution's communication process operates and how well it operates, an administrator runs the risk of being controlled by the information processing system rather than controlling it. Goldhaber warns, "[O]rganizations that are unable or unwilling to effectively create and exchange messages within their systems and between their institutions and their environment will ultimately die."[160]

To satisfy an audience or constituency group, the advancement officer needs to know who is in that audience and what they want. In the *Handbook of Institutional Advancement,* Brossman asks, "Is some form of public opinion survey undertaken, on a regular basis, to determine how the institution is perceived by outsiders, how successful its publications are, and whether the basic facts of the institution's funding are clear?"[161]

Jacobson suggests that advancement managers must conduct evaluative studies to answer four questions: "(1) Did the program reach the people that it set out to reach? (2) Did the program get its message across? (3) Did the program cause users to act? (4) Did the program change the relationship between the institution and the user(s)?"[162] The advancement manager should measure not only the public's definition of an issue but also the public's perception of the institution's definition of an issue. A small college needs to know what the public thinks the college thinks about the issues.[163]

As evaluation comes into wider use, we will see a growing reliance on statistical data for policy decision input. Evidence of past trends and the factors underlying the trends will be needed. Essential evaluation tools give the advancement manager a data bank for practical operational control.

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156 Rowland, "Introduction to the Series," pp. xi-xii.

157 Thad L. Hungate, *Management in Higher Education* (New York: Teachers College, Columbia University, 1964).

158 Leslie, *Focus on Understanding*, p. 93.

159 Jacobson, *Evaluating Advancement Programs*, p. 8.

160 Gerald M. Goldhaber, guest ed., *Improving Institutional Communication*, New Directions for Institutional Advancement, no. 2 (San Francisco: Jossey-Bass, 1978), p. viii.

161 W. R. Brossman, "The Management of Priorities," in *Handbook of Institutional Advancement*, ed. Rowland, p. 473.

162 Jacobson, *Evaluating Advancement Programs*, p. 39.

163 Ibid., p. 43.

Chapter 8

Conclusion

When I asked, "If you could change one thing to improve your institution's advancement effectiveness, what would it be?" the predominant answer was to improve marketing strategies/public relations image (44 percent). The respondents' second most-sought change (see Table 66) is to increase the staff and/or budget. Almost a quarter (21 percent) either do not want any changes made or did not answer the question. Improving advancement objectives/planning is a change 18 percent of the respondents would like to see. A small group (5 percent) would like to change the organization and coordination of the advancement office while another group (6 percent) would like a more radical change—to change the physical character of the college. The predominant concern under "other" was to consolidate functions.

Table 66: Changes to Improve Advancement Efforts

Changes	Percent desiring
Improve marketing strategies/public relations image	44
Increase staff and/or budget	27
No changes/no answer	21
Improve advancement objectives/planning	18
Change physical character of college/university	6
Reorganize and/or coordinate advancement offices	5
Other	5

All of the changes show a healthy concern for those areas that will make the greatest difference in the long run. Marketing, image planning, budgeting, and staffing are all critical concerns. The data in this study provide some comparisons for managers to use in developing future strategies for these areas.

Suggestions for additional research

Small college advancement managers need more data in several areas. The following suggestions for further research reflect both questions this study did not answer and questions the study raised:

1. Test the framework against other selected populations. This would help validate the usefulness of the framework. Of particular interest is the size of the colleges as measured by enrollment, gift income, and total E&G expenditures. The characteristics of a college with an enrollment under 1,000 full-time equivalent students seem to be quite different from those of a college with 1,000 to 2,000 students. Even though I designed the framework in this study specifically for the small college, we may need to distinguish between the small (1,000-2,000 students) and the very small (fewer than 1,000 students).

2. Evaluate the phenomenon of the one-person shop. In the past, we have considered this person to be a magical do-it-all person. However, we now have reason to question the wisdom of such a minimal expenditure for advancement. There may be a point of diminishing return where no staff is just as good as a limited one. In other words, a certain amount of money will come in as a by-product of ongoing institutional life. If an institution is going to make any commitment at all to advancement, it should be a complete and well-thought-out approach, consistent with institutional resources.

3. Do more detailed research on the effectiveness of solicitations with an assessment of the productivity of each type of approach (telephone, personal visit, letters, etc.). This research should also emphasize the role of peer relations in a solicitation, i.e., should the solicitor and prospective donor be matched on certain variables—age, wealth, social status, religious beliefs, and so forth? Can a younger person solicit an older one? Does it take a rich person to solicit a gift from a wealthy prospective donor?

4. Conduct research on who gives and why, particularly to the small college. Does the motivation for giving differ according to the size of the institutiton, its rules, curriculum, church affiliation, or location? Only when this type of information is available will the small college be able to write appeal letters intelligently and plan the entire advancement process wisely.

5. Conduct research on donor cultivation. What sort of activities and events will acquaint people with a college in such a way that they will be motivated to become donors? Is it possible that some people do not need or want to be "cultivated"?

6. Conduct research on donor recognition. Do people really want plaques, paperweights, and all the other recognition giveaways? If they do, which ones provide the best motivation for giving? Are recognition needs different for donors to larger colleges?

7. Analyze what makes a good advancement officer, particularly at the small, independent college. What are the personnel characteristics that lead to a successful advancement program? Do fund-raising experience, age, and educational degrees affect a person's ability to "make it happen"? If these charac-

teristics do make a difference, how can the small college identify prospective personnel who have them?

8. Determine how the small college should proceed with prospect research. Seldom does the small college advancement office have a large pool of prospects. It is important to identify what is being done and develop a framework to suggest what should be done.

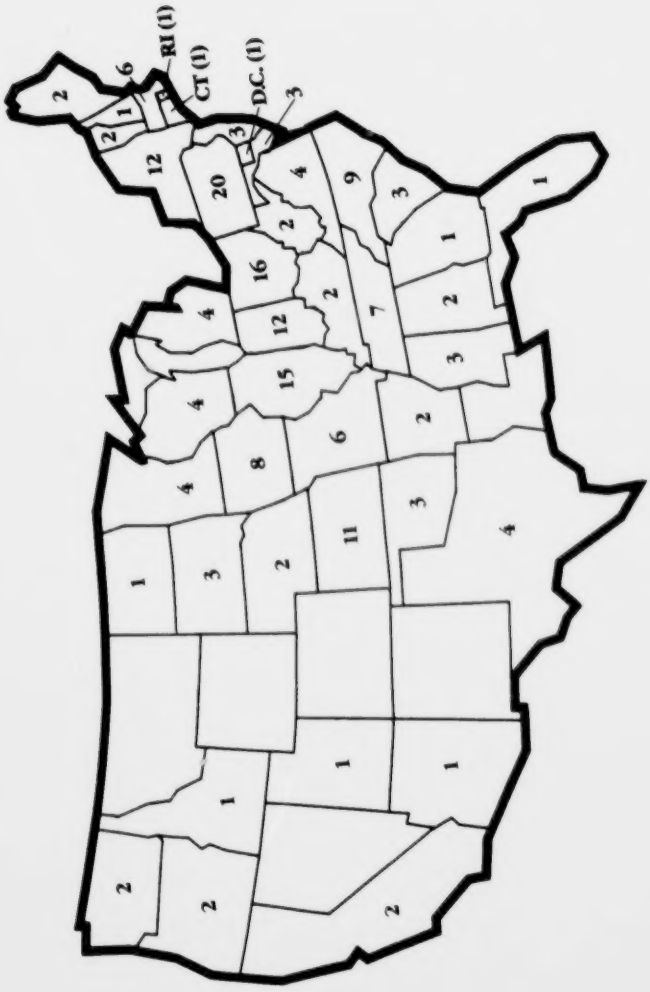
9. Investigate the effect of personnel outside the advancement office on the success of the institutional advancement program. Just how much planning and programming can advancement personnel do to develop understanding and support? Similarly, to what degree do the people who represent the institution actually determine the college's image? A small college's image often comes from some specific events involving a few people, and that image—whether accurate or not—is not easily changed.

10. Analyze the role of the president in the advancement function. Presidential leadership may well be a basic and prime force behind a college's success but research is needed to test this notion. For example, can a small college succeed with an ineffective president? What are the short- and long-term effects of an ineffective president?

11. Conduct research to help the small college identify its uniqueness and its markets. Ideally, this research would produce a framework that each advancement officer could apply to his or her own institution to develop an effective marketing plan.

Recently, while getting ready for work, I heard over the radio the chilling news of a local small college that must raise $1.3 million in 10 days to stay open. The institution was over $10 million in debt. This is not an uncommon occurrence, and such news reminds us—if we should need reminding—that advancement for most small colleges is a genuine struggle with constant bottom-line accountability in terms of numbers of students enrolled and amount of gift income received. I hope that the data presented in this book will help advancement managers see what other institutions are doing and apply that information to their own situations.

Appendices



Appendix A: Distribution of Respondents by State
41 States and the District of Columbia Represented

Appendix B: Distribution of Respondents by Region

APPENDIX C

CIC

THE COUNCIL OF INDEPENDENT COLLEGES

The National Service Association for Independent Colleges

October 29, 1984

Dear Colleague:

As you know so well, raising funds, attracting students, and cultivating friends are extremely critical in your efforts to provide quality education. CIC is aware of the importance of these activities and is always looking for ways to help you be more effective. The enclosed questionnaire is designed to provide data that will assist you and our other member schools, and to help CIC plan programs responsive to your needs.

The purpose of this survey is to obtain up-to-date data concerning your development/advancement activities. The results should prove to be of significant benefit to you because it will provide useful guidelines for development/advancement efforts among our colleges.

We are grateful that the questionnaire and analysis are being coordinated by Dr. Wesley Willmer, Director of Development at Wheaton College (IL). Wes did a similar study for us in 1978 as part of our Summer Institute in Effective Fund Raising. Part of the benefit of doing this study again is a comparison of how our activities have changed over the past several years.

I am asking you to complete the enclosed questionnaire and return it by mail in the envelope provided before November 14, 1984. If possible please have your senior development/advancement administrator review the responses made on the questionnaire before it is returned for evaluation. Your prompt attention to completing this survey is gratefully appreciated.

A copy of the results will be available early in 1985. If you would like a summary of the results, please return with your questionnaire a self-addressed #10 envelope with two first-class postage stamps. You will receive the summary of the survey and a copy of a monograph entitled The Small-College Resource Development Challenge (1984), reprinted from the Prentice-Hall Charitable Giving and Solicitation Service.

Please accept in advance my sincere thanks.

Best regards,

Gary H. Quehl
President

CHO:clb
Enclosures

One Dupont Circle • Washington D.C. 20036 • (202) 466-7230

Appendix C: Letter and Questionnaire

ED: 104

Please return by
November 14, 1984

THE COUNCIL OF INDEPENDENT COLLEGES

Institutional Advancement Survey

The purpose of this questionnaire is to obtain descriptive data about your college's institutional advancement efforts--those programs in the broad fields of development or fund raising, admissions, public relations, and alumni affairs whose purpose is to advance the understanding and support of your college. If any answer is not readily obtainable, please use an average or an educated estimation.

INSTITUTIONAL IDENTIFICATION

Name of College _____

Name of Respondent _____

Respondent's Title _____ Phone ( ) _____

1. Check the number of (FTE) students (fall, 1984) (1)
   (1) ____ up to 500
   (2) ____ 501-750
   (3) ____ 751-1000
   (4) ____ 1001-1250
   (5) ____ 1251-1500
   (6) ____ 1501-2000
   (7) ____ 2001 and over

2. How long has your institution been in existence? (2)
   (1) ____ less than 10 years
   (2) ____ 11 to 25 years
   (3) ____ 26 to 50 years
   (4) ____ 51 to 75 years
   (5) ____ over 76 years

3. What is the total FY 1983-84 educational and general (E&G) expenditures, including student aid, for your institution. $_____ (3)

4. Check the functions which are included in your institution's advancement (IA) program: (4)
   (01) ____ Fund Raising
   (02) ____ Admissions
   (03) ____ Alumni Affairs
   (04) ____ Government Relations
   (05) ____ Photo Services
   (06) ____ Physical Plant Planning
   (07) ____ Church Relations
   (08) ____ Parents Programs
   (09) ____ Placement
   (10) ____ PR and Publicity
   (11) ____ Publications
   (12) ____ Conferences
   (13) ____ Special Events
   (14) ____ Others (specify) _____

5. In FY 1983-84, what were your total institutional expenditures (including salaries and benefits) to perform these functions? $_____TOTAL (5)
   Please subdivide these total expenditures into these four categories: (6-9)
   $_____ Fund Raising
   $_____ Admissions (including travel, media/promotional expense)
   $_____ Public Relations
   $_____ Alumni Affairs

- 1 -

6. Has your institution's mission statement or statement of purpose been reviewed in the past five years? (10)
   (1) ____ Yes (2) ____ No (3) ____ No written statement

7. Are your institutional advancement functions managed and coordinated through one department? (11)
   (1) ____ Yes (2) ____ No

8. What is your total number of IA professionals _____ (FTE)? Please subdivide into four categories: (12) (13-16)
   _____ Fund Raising _____ Public Relations
   _____ Admissions _____ Alumni Affairs

9. What is your total number of IA clerical/secretarial personnel _____(FTE)? Please subdivide into four categories: (17) (18-21)
   _____ Public Relations _____ Admissions
   _____ Fund Raising _____ Alumni

10. Do you plan to enlarge your advancement staff in the next two years? (22)
    (1) ____ Yes (2) ____ No (3) ____ Do not know

11. Do volunteers play an active role in your advancement efforts? (23)
    (1) ____ Yes (2) ____ No

12. Please provide the following information about the chief person who manages and coordinates all your IA efforts: (24-30)
    _____ years with your institution
    _____ years in present position
    _____ years of experience in advancement field
    _____ highest academic degree
    _____ academic major of highest degree
    _____ age
    _____ sex

13. Is your chief advancement officer a member of the executive officer's policy-making group? (31)
    (1) ____ Yes (2) ____ No

14. The chief officer for the IA functions reports directly to the: (32)
    (1) ____ President (3) Other (specify) _____
    (2) ____ Vice President of _____

15. Does your IA office have a written statement of objectives? (33)
    (1) ____ Yes (2) ____No

16. To what extent are you satisfied with your trustees' involvement in the following areas: (34-38)
    (Please fill in the number that indicates most closely the level of your satisfaction--"1" if you are very satisfied, ranging to "6" if you are very dissatisfied.)
    ____ Assisting admissions efforts
    ____ Deciding fund raising policy
    ____ Making financial contributions
    ____ Soliciting new donors
    ____ Other (specify) _____

17. Is there an active, working trustee committee involved in your IA program? (39)
    (1) ____ Yes (2) ____ No

18. Please answer yes (Y) or no (N) to indicate if your institution provides time and/or money for each of the following types of professional improvement: (40-47)

Item	Time		Money	
magazines/newsletters	___Y	___N	___Y	___N
professional seminars	___Y	___N	___Y	___N
education for credit	___Y	___N	___Y	___N
other (specify) _____	___Y		___Y	

19. Please indicate how well trained members of your staff are in the areas of responsibility listed below: (Check all that apply, marking how adequately you feel these persons are trained.) (48-62)

Not Adequately Trained	Adequately Trained	Very Well Trained	
_____	_____	_____	Admissions strategies
_____	_____	_____	Alumni programming
_____	_____	_____	Writing direct mail
_____	_____	_____	Writing PR copy
_____	_____	_____	Use of computers
_____	_____	_____	Tracking donors
_____	_____	_____	Making management reports
_____	_____	_____	Principles of management
_____	_____	_____	Time management
_____	_____	_____	Budgeting
_____	_____	_____	Using television & radio
_____	_____	_____	Donor relations
_____	_____	_____	Planned giving
_____	_____	_____	Writing grant proposals
_____	_____	_____	Other (specify)_____

20. Have you used professional consultants in the management of any aspect of your advancement program in the last year? (1) ____ Yes (2) ____ No (63)
If yes, in what area(s)? _____ (64)

21. If a prospective donor walked into your office today, would you have a case statement to hand to him/her? (1) ____ Yes (2) ____ No (68)

22. Income goals for fund raising efforts are set by: (Check one.) (69)
(1) ____ Board (3) ____ Staff with input from Board
(2) ____ President (4) ____ Other (specify) _____

23. Which of the following were written fund raising goals and objectives in FY 1983-84: (Check any that apply.) (70-76)
(1) ____ attracting "x" number of new donors
(2) ____ increasing the average size of donors' gifts
(3) ____ increasing the frequency of donors' gifts
(4) ____ renewing "x" number of lapsed donors
(5) ____ "x" amount of increased income
(6) ____ other (specify) _____
(7) ____ we really do not have written goals

24. What percentage of your fund raising efforts are for annual unrestricted monies? _____% (77)

25. Have you conducted a capital campaign in the last three years? (78)
(1) ____ Yes (2) ____ No

26. Do you plan to have a capital campaign in the next three years? (79)
(1) ____ Yes (2) ____ No

27. Is your college a member of an association of colleges organized to raise funds? (1) ____ Yes (2) ____ No (80)
If yes, what percentage of your annual unrestricted giving is accounted for by this association? _____% (81)

28. Do you have a legally separate foundation for the purpose of raising funds? (1) ____ Yes (2) ____ No (82)

29. Indicate the total private gifts received during your last complete fiscal year. Capital $_____ Operations $_____ (83, 84)

30. Of all $1000-plus donors and prospects solicited face-to-face, what percent were by: (85)

_____% Trustees	_____% Volunteers
_____% President	_____% Others (specify) _____
_____% Staff	100 % TOTAL

31. Please rank these fund raising activities according to the amount of net income generated. ("1" indicates the most income, "2" indicates the second largest amount of income, etc.) Leave blank those activities you do not use. (86-93)
(1) ____ direct mail
(2) ____ telemarketing (phonathons)
(3) ____ radio programs/spots
(4) ____ TV programs/spots
(5) ____ area representatives
(6) ____ personal contact
(7) ____ special events (banquets, etc.)
(8) ____ other (specify) _____

32. Please indicate what percentage of your income is generated by each of the sources below. (If the item does not apply, leave it blank.) (94-105)

_____% Alumni	_____% Foundations
_____% Parents	_____% Businesses
_____% Students	_____% Churches
_____% Trustees	_____% Deferred gifts
_____% Faculty	_____% Government grants
_____% Individuals	_____% Other _____
	100 % TOTAL

33. Do you have a legally incorporated, independent alumni organization? (106)
(1) ____ Yes (2) ____ No

(If you answered "no" please proceed to question #34; if you answered "yes," please also answer the questions that immediately follow.)
Is it funded by your institution? (1) ____ Yes (2) ____ No (107)

Is fund raising a part of the responsibility of the alumni association? (1) ____ Yes (2) ____ No (108)

Do alumni actively participate in the student recruitment process? (1) ____ Yes (2) ____ No (109)

Do you have a special alumni program for recent graduates? (1) ____ Yes (2) ____ No (110)

34. Have you conducted market analyses (who gives and why) of your donor constitutency? (1) ____ Yes (2) ____ No (111)

35. Other than the total amount of money raised, what single criteria is the most important in measuring your fund raising program's effectiveness? _____ (112)

36. Do you actively solicit: (113-115)
bequests/wills (1) ____ Yes (2) ____ No
annuities (1) ____ Yes (2) ____ No
trusts (1) ____ Yes (2) ____ No
other deferred gifts (specify) _____

37. Do you keep a written record of your return-on-investment (ratio of income generated to costs incurred) for your various advancement strategies? (1) ____ Yes (2) ____ No (116)

38. What do you think is the main reason why donors give to your institution? _____ (117)

39. What is the average turn-around time in acknowledging a gift?
(1) ____ same day (4) ____ over 8 working days
(2) ____ within 3 working days (5) ____ no acknowledgement sent (118)
(3) ____ 4-7 working days

40. What is the size of your total mailing list? _____ (119)

41. What was the total percentage of those on your mailing list who gave at least one gift in 1983?
(1) ____ 0-10% (3) ____ 21-35% (5) ____ 51-75% (7) ____ not sure (120)
(2) ____ 11-20% (4) ____ 36-50% (6) ____ over 75%

42. How many times did you mail the following in 1983 to your clientele? (For any category which does not apply, please leave blank.) (121-128)
_____ News letters/magazines
_____ General appeal letters for funds
_____ Segmented appeals:
_____ to major donors
_____ to regular donors
_____ to lapsed donors
_____ to non-donors
_____ to follow up first-time donors
_____ Other (specify) _____

43. Have you conducted a readership survey of your primary publication in the past three years? (129)
(1) ____ Yes (2) ____ No (3) ____ We do not have a publication

44. How are your donor records maintained? (Check one.) (130)
(1) ____ Manually
(2) ____ By a service bureau (outside computer service)
(3) ____ By an in-house computer

45. Do you personalize your appeal letters using the donor's name and address in the salutation and body of the letter? (Check only one.) (140)
(1) ____ Yes, to certain small groups only
(2) ____ Yes, to our general list occasionally
(3) ____ Yes, to our general list most of the time
(4) ____ We never personalize

46. Do you have a strategy to attract new donors? (141)
(1) ____ Yes (2) ____ No

47. On the average, how much did it cost you in the past year to gain a new donor? (Divide the total expenditures for this purpose by the total number of new donors.) (142)
(1) _____ Do not know (4) _____ $76-$100
(2) _____ Under $40 (5) _____ Over $100
(3) _____ $41-$75

48. Do you have a strategy to renew donors who have not given in the past year or more? (1) ____ Yes (2) ____ No (143)

49. Does your institution present a clear and consistent image of itself? (144)
(1) ____ Yes (2) ____ No

50. "I think that our image should be modified to more adequately satisfy the needs of our clientele." (Please mark the appropriate section on the scale.) (145)
Strongly Strongly
Agree_____/_____/_____/_____/_____/Disagree

51. Modification of the organization's image is primarily the responsibility of the: (Check one.) (146)
(1) _____ Board (3) _____ Advancement Office
(2) _____ President (4) _____ Other (specify) _____

52. Using the indicated code, specify the importance of the following public relations goals for your institution: (For each goal, indicate "1" if of great importance, ranging to "4" if of little importance.) (147-156)
___ attract prospective students
___ add to the college's academic reputation
___ report news
___ raise funds
___ provide a community service
___ favorable relations with faculty
___ favorable relations with the community
___ educate the public about higher education
___ show the importance of religion in education
___ build and hold goodwill for the institution

53. Does your college have a public relations advisory group comprised of people outside the institution? (1) ____ Yes (2) ____ No (157)

- 6 -

54. Is the advancement office responsible for the publication of student recruitment literature? (1) ____ Yes (2) ____ No (158)

55. How many field representatives do you have? _____ (159)

56. If you have field representatives, what is their primary responsibility? _____ (160)

_____

57. Within the last year, how many voluntary activities (lobbying, dinners, visits, etc.) have been conducted to improve your institutions's relationship with a state or federal agency? _____ (161)

58. Does your institution actively seek government grant funding? (162)
(1) ____ Yes (2) ____ No
If yes, what is the title of the person responsible for grant preparation? _____ (163)

59. For this fall's (1984) student recruitment efforts, what were the totals in each of these categories? (164-166)
_____ Inquiries
_____ Applications
_____ Matriculants (new students)

60. In the last three years have you done market research to determine why students attend your college? (1) ____ Yes (2) ____ No (167)

61. Are you experiencing enrollment growth or decline compared with three years ago? (1) ____ growth (2) ____ decline (168)

62. Do you expect enrollment growth or decline in the next three years? (1) ____ growth (2) ____ decline (169)

63. To whom does your chief admissions officer report? (Check one.) (170)
(1) ____ President (4) ____ V.P. for Academic Affairs
(2) ____ V.P. for Advancement (5) ____ V.P. for Student Affairs
(3) ____ V.P. for Finance (6) ____ Other (specify) _____

64. If you could change one thing to improve your institution's advancement effectiveness, what would it be? (175)

Thank you very much for your time and cooperation. Please use the enclosed envelope to return this questionnaire as soon as possible, but <u>not</u> later than November 14, 1984.

Return to: The Council of Independent Colleges
c/o Dr. Wesley K. Willmer
501 E. Seminary Avenue
Wheaton, IL 60187

November 16, 1984

Dear Colleague:

This is just a reminder to ask that you complete and return the questionnaire you received last week. Every completed questionnaire returned to us will be evaluated and the results tabulated in a report which will be available to you.

If you have already returned the questionnaire, thank you. If not, this is simply a reminder.

Sincerely,

Gary H. Quehl
President

Appendix D: Reminder Postcard

The Council of Independent Colleges

December 13, 1984

Dear Colleague:

We need to hear from you!

According to our records, the CIC questionnaire sent to your college last month has not been received. It is extremely important that you answer the survey and return it to us or the study we are doing for CIC will be incomplete.

For your convenience, a duplicate questionnaire is attached. We would like to get your completed questionnaire as soon as possible but not later than January 5, 1985. Please send to:

The Council of Independent Colleges
c/o Dr. Wesley K. Willmer
501 E. Seminary Ave.
Wheaton, Illinois 60187

Thank you.

Wesley K. Willmer
Research Project Coordinator

WKW:ldu
Enclosure

Appendix E: Second Letter

Appendix F: Respondents to CIC Survey

Alderson Broaddus College, Philippi, West Virginia
Charles R. Hodgkinson, Director, Alumni-Parent Relations and the Annual Fund

Alliance College, Cambridge Springs, Pennsylvania
Casimar Kowalski, President

Anna Maria College, Paxton, Massachusetts
Richard R. Blain, Director of Development and Community Relations

Aquinas College, Grand Rapids, Michigan
Sr. M. Aquinas Weber, Vice President for Development

Arkansas College, Batesville, Arkansas
Dan C. West, President

Assumption College, Worcester, Massachusetts
Edward A. Engel, Director of Institutional Affairs

Atlantic Christian College, Wilson, North Carolina
H. Dale Almond, Vice President for Institutional Advancement

Augustana College, Sioux Falls, South Dakota
Kathy Bangassar, Associate of Development

Aurora College, Aurora, Illinois
Alan Stone, President

Baker University, Baldwin City, Kansas
Richard L. Torgerson, Vice President for Academic Affairs

Barber-Scotia College, Concord, North Carolina
James S. Davidson, Coordinator of Campus Improvement and Director of Institutional Research

Barry University, Miami, Florida
Gary D. Smith, Vice President for Development

Benedictine College, Atchison, Kansas
Gerard Senecal, President

Bethany College, Lindsborg, Kansas
Peter J. Ristuben, President

Bethany Nazarene College, Bethany, Oklahoma
Ronald R. Schmidt, Vice President for Institutional Advancement

Bethel College, Mishawaka, Indiana
Gerald D. Dudley, Vice President for Institutional Advancement

Bethel College, North Newton, Kansas
Lawrence Voth, Director of Development and Financial Affairs

Bethel College, McKenzie, Tennessee
G. Kenneth Guthrie, Director of Development

Bethel College and Seminary, St. Paul, Minnesota
George K. Brushaber, President

Bloomfield College, Bloomfield, New Jersey
Merle F. Allshouse, President

Bluffton College, Bluffton, Ohio
Paul M. King, Director of Development

Brescia College, Owensboro, Kentucky
Jayne Flynn, Director of Development

Briar Cliff College, Sioux City, Iowa
Charles Bensman, President

Bridgewater College, Bridgewater, Virginia
Wayne F. Geisert, President

Bryan College, Dayton, Tennessee
Theodore C. Mercer, President

Buena Vista College, Storm Lake, Iowa
Ivan Harlan, Vice President

Cabrini College, Radnor, Pennsylvania
John J. Heiberger, Vice President

Calumet College, Whiting, Indiana
Louis Osterhage, President

Campbellsville College, Campbellsville, Kentucky
W. R. Davenport, President

Capital University, Columbus, Ohio
Vic Hahn, Assistant to the President

Carlow College, Pittsburgh, Pennsylvania
Marylouise Fennell, President

Carthage College, Kenosha, Wisconsin
Don Moldenhauer, Director of Development

Centenary College, Hackettstown, New Jersey
Dan Sherwood, Vice President of Development

Central Methodist College, Fayette, Missouri
Joe A. Howell, President

Central Wesleyan College, Central, South Carolina
John M. Newby, President

Clarke College, Dubuque, Iowa
Catherine Dunn, President

College of Idaho, Caldwell, Idaho
Arthur H. DeRosier, Jr., President

College of Mount Saint Joseph, Mount Saint Joseph, Ohio
William J. Shustowski, Jr., Vice President for Institutional Advancement

College of Notre Dame of Maryland, Baltimore, Maryland
Ursula McCracken, Director of Development

The College of Our Lady of the Elms, Chicopee, Massachusetts
Barbara J. Garvey, Director of Development

The College of Saint Catherine, Saint Paul, Minnesota
James A. Keenan, Jr., Vice President for Institutional Advancement

Columbia College, Columbia, Missouri
Donald B. Ruthenberg, President

Columbia Union College, Takoma Park, Maryland
William Loveless, President

Covenant College, Lookout Mountain, Tennessee
Paul Biggers, Director of Institutional Advancement

The Defiance College, Defiance, Ohio
Randall L. Buchman, Vice President for Development

Dominican College of Blauvelt, Orangeburg, New York
Sr. Michaela Connolly, Director of Development

Drury College, Springfield, Missouri
Judy Nickle, Vice President for Development and Alumni Relations

Eastern Mennonite College and Seminary, Harrisonburg, Virginia
David F. Miller, Director of Development

Elmhurst College, Elmhurst, Illinois
Ivan E. Frick, President

Elmira College, Elmira, New York
Leonard T. Grant, President

Emmanuel College, Boston, Massachusetts
Sr. Janet Eisner, President

Eureka College, Eureka, Illinois
Daniel D. Gilbert, President

Findlay College, Findlay, Ohio
Donald E. Hines, Vice President for Advancement

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About the Author

Wesley K. Willmer writes with authority about the small college. His considerable experience in small college administration includes stints as director of development at the Billy Graham Center of Wheaton College, Illinois; director of college relations at Roberts Wesleyan College; and associate dean of students at Seattle Pacific University. He is presently senior advancement officer and director of development at Wheaton College.

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Dr. Willmer's articles on fund raising and institutional advancement research have appeared in CURRENTS, *AGB Reports* (the magazine of the Association of Governing Boards of Universities and Colleges), *Fund Raising Management, Foundation News,* and *FRI Monthly Portfolio.* He is the author of chapters in the *Handbook of Institutional Advancement,* Second Edition, and in *Charitable Giving and Solicitation.*

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Dr. Willmer has a B.A. in psychology and an M.Ed. in counseling and guidance from Seattle Pacific University. He earned a Ph.D. in higher education from the State University of New York at Buffalo under the advisership of Dr. A. Westley Rowland, editor-in-chief of the *Handbook of Institutional Advancement.* Dr. Willmer's dissertation was on small college advancement.

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